Copyright Management, Education and Support in Institutional Repositories

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Abstract

Purpose

The purpose of this research is to investigate the link between copyright and some Institutional Repositories' Key Performance Indicators, full text and participation rates, in order to make recommendations to library professionals involved with Institutional Repositories at an operational or strategic level.

Aims and objectives

This study aims to identify current practices in copyright management of deposited material and the provision of copyright information and support activities related to self-archiving in North American and European Institutional Repositories, also with a view to define copyright approaches adopted by libraries in relation to these activities. Providing both copyright management and education activities puts a strain on the already stretched resources of many libraries, therefore this study attempts to evaluate the impact of these activities.

Methods

A cross sectional design combining both qualitative and quantitative methods was used. An invitation to complete a web-based self-completion questionnaire was sent to North American and European Institutional Repositories managers. This was followed by a content analysis of copyright web pages.

Results

The literature identified lack of copyright awareness as a factor for non-participation and low self-archiving behaviour.

Institutional repositories in North America and Europe are managing the copyright of deposited material, and manage the related risk to some extent. They are providing copyright training and support activities using mainly individual assistance, one to one conversations and presentations as communication methods.

The study could not establish any causal relationship between these activities and full text and participation rates due to gaps and inconsistencies in the measurement of these variables. However, other variables were identified as having an impact on these Key Performance Indicators, such as Open Access mandates, use of author addenda and licences, education about author rights, and a rights retention advocacy copyright approach.

Conclusions

Tackling the issue of copyright literacy related to self-archiving amongst scholars is critical for libraries to ensure long term access to published research produced

at their institution in order to guarantee the visibility of this research. It requires a blended approach, modelled on Australia, where the implementation of Open Access mandates by institutions and funders, combined with copyright management, support and education strategies, led to higher deposit rates.

Embedding copyright education in other training and involving all library staff would also reduce the burden of copyright management on repository staff in the long term.

The survey responses suggested that evidence-based evaluation of Institutional Repositories' success is poorly developed, therefore improving Key Performance Indicators measurement such as full text and participation rates is needed in order to assess the impact of copyright activities.

Declaration

This work has not previously been accepted in substance for any degree and is not being concurrently submitted in candidature for any degree.

Signed _____ (candidate)

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STATEMENT 1

This work is the result of my own investigations, except where otherwise stated. Where correction services have been used, the extent and nature of the correction is clearly marked in a footnote(s).

Other sources are acknowledged by footnotes and/or an appropriate citation method giving explicit references. A bibliography is appended.

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STATEMENT 2

I hereby give consent for my work, if accepted, to be available for photocopying and for inter-library loan, and for the title and summary to be made available to outside organisations.

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Contents

List of tables

List of figures

List of abbreviations

ALPSP	Association of Learned and Professional Society Publishers
ACRL	Association of College and Research Libraries
ARL	Association of Research Libraries
CIBER	Centre for Information Behaviour and Evaluation in Research
CTA	Copyright Transfer Agreement
IP	Intellectual Property
IPR	Intellectual Property Rights
IR	Institutional Repository
JISC	Joint Information Systems Committee
KPI	Key Performance Indicator
OA	Open Access
OpenDOAR	Directory of Open Access Repositories
RAE	Research Assessment Exercise
RCUK	Research Council UK
RIN	Research Information Network
ROAR	Registry of Open Access Repositories
RS	Research Support
RSP	Repositories Support Project
SC	Scholarly Communication
SHERPA	Securing a Hybrid Environment for Research Preservation and Access
SPARC	Scholarly Publishing and Academic Resources Coalition
UKCoRR	United Kingdom Council of Research Repositories

Glossary

Author Rights; Author Rights Management; Rights Retention: In the context of scholarly communication, Author Rights refers to policies and tools designed to assist academics and researchers in retaining the copyright for their materials. The purpose of Author Rights is to facilitate the dissemination of their work and increase their research impact. This typically involves publishing in open-access journals or negotiating with publishers to retain all, or some, of the following rights: to reuse their work in teaching, future publications, or in scholarly and professional activities; to post their work on the web (sometimes referred to as "self-archiving") e.g., on a personal web page, Institutional Repository, or a subject archive.

Author (or Licence) Addenda: A contract that grants the author the 'licence to publish' instead of a 'transfer of copyright'.. This can allow the author to post pre-print and post-print research material related to a published journal article in an Institutional Repository.

Author version: Some agreements use this term instead of pre- and post-prints to mean the final version produced by the author, with all peer-review and other editorial changes in place in the text, but before layout and minor sub-editing changes. See *Versioning.*

Creative Commons Licence: This licence allow creators to communicate which rights they reserve, and which rights they waive for the benefit of recipients or other creators. It replaces individual negotiations for specific rights between copyright owner (licensor) with a "some rights reserved" copyright approach employing standardised licences for re-use cases where no commercial compensation is sought by the copyright owner.

Institutional Repository: An online collection that captures, preserves, and allows access to the intellectual output of an institution, particularly a research institution.

Intellectual Property or Copyright Management: The processes for managing rights creation, licensing and usage. In the context of this study: the

management of IR content under copyright, e.g., tracking and contacting rightsholders, checking publishers' requirements regarding self-archiving, contacting publishers for permission to deposit materials in an Institutional Repository, enforcing deposit conditions, or displaying information about the copyright conditions attached to an item.

IR Key Performance Indicators:

- *Depositorship rate:* the number of self-archived items compared with the number of items deposited by third parties (Xia, 2007)
- *Full text rate*: the number of full text records compared with the number of bibliographic records
- *Participation rate*: the number of authors or departments who self-archive in an institution compared with the total number of authors / departments at the institution.

Mediated deposit: The process by which repository material is deposited on behalf of the author by a third party, or copyright and/or record quality checked by specialised staff.

Open Access: An arrangement whereby research outputs are made available online free of charge.

- *Green road or Green OA*: making research material available through OA by self-archiving (e.g., pre-prints or post-prints)
- *Gold road or Gold OA:* making research material available through OA by publishing in Open Access journals

Pre-print: Auth*or's original or sub*mitted manuscript under review (NISO/ALPSP JAV Technical Working Group, 2008). This is the author's draft of a scholarly paper before submission for peer-review and referees' amendments. See *Versioning.*

Post-print: This is the final version of a scholarly paper, after peer review, incorporating any changes or corrections required to ensure publication (including referees' amendments), but without the publisher's formatting. It is the author's copy of the paper, not the published PDF version. Publishers often

allow this version for self-archiving, as long as it does not contain publisher's logos or typesetting, and is not a publisher's proof, or "galley"[1]. See *Versioning.*

Published PDF version: the version of record.

Scholarly Communication: The process by which academics, scholars and researchers share and publish their research findings so that they are available to the wider academic community, including, but not limited to, scholarly articles.

Self-Archiving: The process whereby authors deposit digital copies of their own work on a publicly available website, e.g., on personal or departmental web pages, or in online repositories run by a research institution, research funder, government or public body.

Versioning: The process of managing versions where several instances of a research output are created.

[1] A proof taken from composed type before page composition to allow for the detection and correction of errors.

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Chapter 1: Introduction

1.1 The purpose of this dissertation

The inspiration for this research stems from a pilot Institutional Repository (IR) project at the researcher's institution. It was observed that where the deposit process was fully mediated by the repository team (including retrospective works) the success rate for receipt of full text had been low. The participation rate in the live repository service launched after the pilot, where deposits are not mandated by the institution, is also low.

The researcher suspected, from both experience in copyright checking and permissions seeking for the IR, and various case studies of IR implementation (Various contributors, 2008) that limitations resulting from copyright issues (particularly restrictive publishers' policies in relation to self-archiving, and authors' confusion or ignorance of copyright issues related to research dissemination) were key factors in this low participation and receipt rate.

Recent surveys have confirmed this hypothesis:

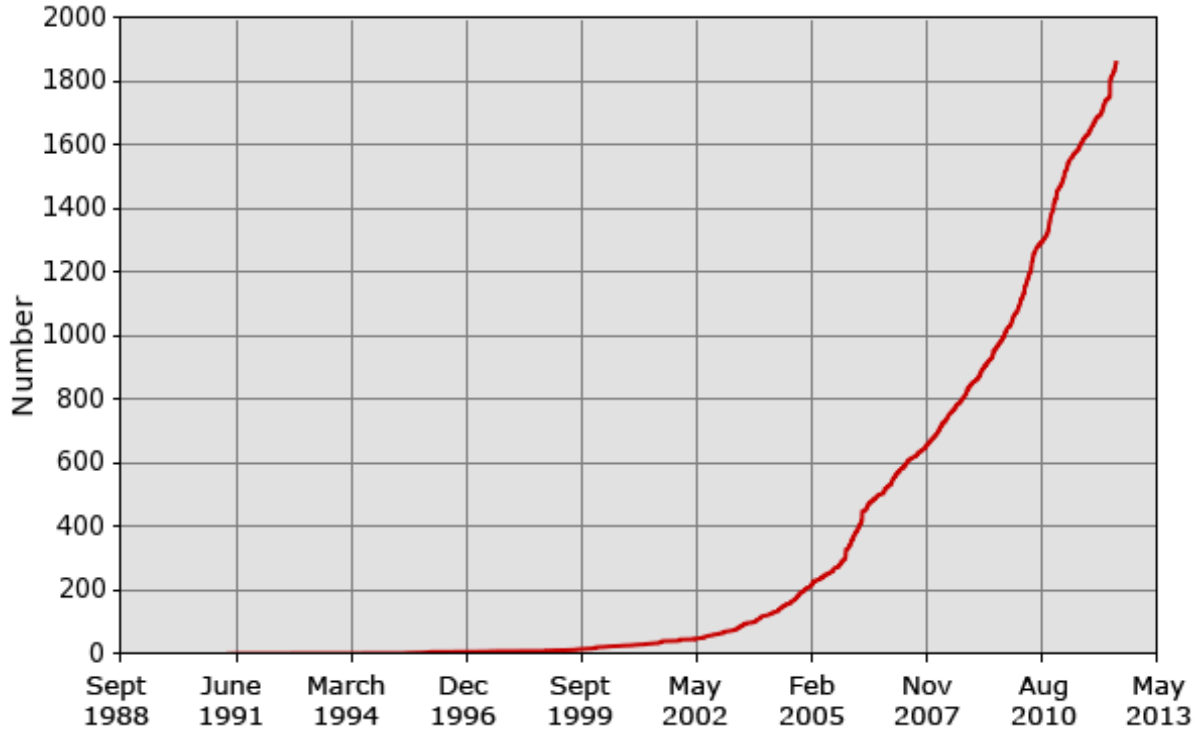
> Researchers are confused about copyright and related issues, including the rights they retain when they publish articles, and when they can or cannot post the full text on their personal websites. They are also confused as to universities' and funders' policies as to the balance to be struck between openness in publication on the one hand, and the protection and exploitation of intellectual property on the other. (CIBER, 2010, p19)

This was the starting point of the literature search: to investigate the link between copyright and the IR's limited success, in order to draw more general conclusions and suggest solutions.

1.2 Background

The first Institutional Repositories were set up at the end of the nineties, as the Open Access movement was emerging. Their growth rate accelerated (Figure 1) as OA was taking hold (Table 1).

Figure 1: The Growth of IRs as charted by ROAR[2]



[2] ROAR, the Registry of Open Access Repositories, provides a list of repositories as well as data export and graphical analysis tools.

Table 1: Key dates for Open Access

Date	Event
Aug. 1991	Launch of **arXiv**, an online archive for Physics, and the first open access repository
June 1995	Publication of Stephen **Harnad**'s **"A Subversive Proposal"**, calling on scholars to archive their research papers online, free for all to access
1999	Launch of the Open Archives Initiative and its **OAI-PMH protocol** for metadata harvesting, developed to make online archives interoperable
Feb. 2000	Launch of **PubMed Central**, a digital database of free full text scientific literature in biomedical and life sciences
Sept. 2000	Release of **Eprints** by Southampton University, an OAI-compliant software for online archives
Sept. 2001	Publication of "**An Open Letter to Scientific Publishers**" signed by 34,000 scholars, calling for "the establishment of an online public library that would provide the full contents of the published record of research and scholarly discourse in medicine and life sciences in a freely accessible, fully searchable, interlinked form", which led to the creation of the Public Library of Science (**PLoS**)
Feb. 2002	**Launch of the** Budapest Open Access Initiative **by the Open Society Institute, which provided the first definition of Open Access**
Feb. 2002	Launch of **OIAster**, the first searchable collection of freely available scholarly digital resources using the OAI-PMH protocol
Aug. 2002	Launch of Project **SHERPA** to support the establishment of Open Access repositories in UK universities
Oct. 2003	The **Berlin Declaration on Open Access to Knowledge in the Sciences and Humanities** was drafted. The World Summit on the Information Society includes Open Access in its Declaration of Principles and Plan of Action
Sept. 2004	Release by the U.S. National Institute of Health of its Open Access strategy, **Enhanced Public Access to NIH Research Information**
Oct. 2005	The Welcome Trust starts implementing its new **Open Access mandate for Welcome-funded research**

The proportion of published articles available in a freely downloadable self-archived version (Green Open Access) is estimated at just 20% (Björk et al., 2010), despite the growing number of institutions and funders adopting Open

Access mandates and the fact that 65% of publishers listed in SHERPA/RoMEO[3] allow it in some shape or form.

Studies about academics' and researchers' stance regarding Open Access suggest several contributing factors to the slow adoption of self-archiving practices:

- lack of time (Troll Covey, 2011)
- low awareness of repositories and institutional policies (Rowlands & Nicholas, 2005; Brown & Swan, 2007; Morris, Thorn & Fraser, 2009; Schonfeld & Housewright, 2010)
- perceived low quality of self-archived versions (Davis & Connoly, 2007; Creaser, 2010)
- differences in disciplinary behaviour (Kingsley, 2008)
- preference for high impact journals which increase citation impact (Brighton, Creaser & White, 2008).

However, this research focuses particularly on the concerns and misunderstandings expressed by researchers and academics about copyright in relation to self-archiving. It investigates the support available at institutions that run a repository with regards to:

- copyright management specific to self-archiving
- building broader copyright awareness relating to scholarly communication.

1.3 Research problem

Providing both copyright management and education activities puts a strain on the already stretched resources of many libraries. This prompts a number of related questions with regards to copyright education programmes and/or rights management support activities in institutions:

- Other than averting the risk of litigation for copyright infringement, are there any incentives for institutions to dedicate resources to these activities?

[3] SHERPA/RoMEO is a database of publishers' policies on self-archiving and copyright transfer agreements. It was developed by SHERPA, an organisation set up in 2002 to support the establishment of Institutional Repositories in UK universities. From about one hundred publishers in 2004, SHERPA/RoMEO has grown to list 1128 publishers (July 2012) from all continents, and is available in Spanish, Portuguese and Hungarian.

- Do these activities increase IR content and participation rates?
- Can these activities improve the effectiveness of Open Access mandates and policies, given that they remain impeded by copyright restrictions (e.g., embargos and version limitations)?

1.4 Definitions

See the Glossary for a definition of the concepts that will be used for the purpose of this study.

1.5 Research aim and objectives

1.5.1 Aim

This study will investigate the provision of copyright management support and the copyright approaches adopted by libraries in relation to self-archiving and copyright information and training activities. By the end of the study, the researcher aims to have identified current practices and evaluated the impact of these activities.

1.5.2 Objectives

There are three objectives for this study:

- To obtain data, provide an overview of current practices in, and identify any regional differences in these practices between North American and European institutional repositories concerning: copyright management of deposited material; the provision and delivery of copyright information; and support activities related to scholarly communication and self-archiving in particular.
- To assess the impact of these activities by measuring Key Performance Indicators (KPI) such as full text rate and participation rate against the content and dissemination of copyright information, and to look at the relationship between these variables in order to determine whether there are any correlations.
- To identify copyright approaches as measured by indicators such as copyright information available on the web and the provision of copyright education and support activities.

1.6 Scope

This research is concerned with institutional repositories based in North America and Europe. While it is expected that most of the organisations discussed will be higher education organisations, the scope of this survey also includes any organisations that may have an IR (e.g., government agencies and international organisations).

Subject repositories are not included in the study, as their content is not influenced by their submitters' organisational structure and institutional policies, and therefore the institutional environment cannot be studied.

Australasia is not included as it was thought the combination of Australia's national Open Access policy and copyright support strategy would make it difficult to distinguish the impact of one policy from the other.

The study focuses on copyright issues related to the dissemination of published research, and ignores copyright issues pertaining to e-theses and learning objects.

1.7 Structure

This dissertation uses the APA citation style throughout and follows the following structure:

- **Chapter Two** will present an overview of the current literature pertaining to copyright issues with regard to research dissemination in institutional repositories.
- **Chapter Three** will discuss research methods available. It will also describe and justify the methodology used in the research and to collect and analyse data.
- **Chapter Four** will present the findings from the survey and from the content analysis.
- **Chapter Five** will critically discuss the results in light of the literature review and the aims and objectives of the study.
- **Chapter Six** will present overall conclusions and make some recommendations arising from the research.

Works consulted will be listed separately from the works cited.

Chapter 2: Literature review

2.1 Introduction

The debate around Open Access (OA) to scholarly communication involves three obvious communities: scholars favouring open circulation of scientific information for promotion; publishers mindful of preserving commercial viability; and academic libraries constrained by shrinking budgets. Another stakeholder worth considering, though silent in this debate, are academic institutions, whose visibility and reputation benefit from facilitating production and dissemination of research[4].

The scholarly communication topic is contentious, eliciting lively exchanges[5] between OA advocates and publishers: the former have called academic publishers "the enemies of science" (Taylor, 2012) and consider self-archiving a justified reclamation of their work[6]; the latter view repositories as a threat to their revenue[7]. With few exceptions[8], libraries have remained relatively neutral, focusing primarily on the practicalities of copyright management.

2.2 Themes from the literature

Few studies dealing with copyright issues related to open repositories are specific to institutional ones, and little research addresses scholars' copyright and self-archiving education. Therefore, the strategy adopted[9] by the researcher for data collection was to formulate a literature search broadly encompassing scholarly

[4] "The dissemination of knowledge is as important to the university mission as its production." (Hahn, 2009, p. 2).

[5] Galin & Latchaw quote the Electronic Frontier Foundation's combative metaphors and the Association of American Publishers' equally inflammatory releases against the NIH open access mandate (2010).

[6] "Much of the early rhetoric surrounding the creation of institutional repositories has sounded as if the repossession by research institutions of the IP (academic papers) which they have given away to commercial publishers is almost a benign act of civil disobedience." (Joint, 2006, p. 331), citing Stallman: "When copyright impedes the progress of science, science must push copyright out of the way." (2001, n. pag.).

[7] "For subscription publishers, repositories represent a cannibalistic threat to their publications and therewith revenue streams." (Sutton, 2011, p. 644).

[8] Hughes (2006) and Troll Covey (2010) advocate rights retention and civil disobedience.

[9] The methods adopted and sources used for the literature review will be developed in Chapter 3.

communication and OA and subsequently skim articles to locate relevant material covering copyright in these contexts. References obtained can be grouped into five major themes for discussion, these are:

- Evaluating IRs' success;
- authors' attitude to self-archiving, copyright and publishers' policies;
- mandates and institutional support for Green OA;
- copyright management and support;
- promoting copyright awareness.

2.2.1 Evaluating the success of Institutional Repositories

What are the measurable success factors for IRs? For Shearer (2003), the main Key Performance Indicator (KPI) should be input activity, i.e., the number of deposits, regardless of whether they are bibliographical or full text records. And, for a long time, this was the main assessment factor used (Xia & Sun, 2007b)[10]. By this measure, IRs are a success: the number of Institutional Repositories and the content held increased exponentially during the last decade (Table 1).

Table 2: Number of repositories and records held

Year	Number of repositories	Number of records**
January 2000[11]	19*	17,757
January 2003[11]	147*	1,355,893
June 2012[12]	1866**	12,597,559[12]

* excludes theses repositories

** includes both bibliographic records and records with full text

*** Institutional repositories only

But when other IR KPIs are taken into account (still leaving aside outcome approaches such as download or citation rate), a less successful picture emerges.

[10] "Content size that has been prevalently examined in most existing projects of IR assessment as the prime indicator of the success of IRs. Content size is also core in the evaluation of the success of self-archiving." (Xia & Sun 2007b, p. 74).

[11] From "Spreadsheet data on growth of EPrints and other repositories" (Southampton University, School of Electronics and Computer Science, 2003).

[12] ROAR, "Browse by Repository type - Institutional", retrieved from http://roar.eprints.org/view/type/institutional.html on 5th July 2012.

Casella suggests measuring the participation rate of researchers[13] and academic units[14] because "IR assessment is mainly driven by the user perspective, which helps gauge the real level of commitment of the affiliated researchers communities to the IR." (2010, p. 214). Studies to date suggest only a modest increase in participation rate (Table 3)[15].

[13] "Percentage of researchers depositing in the IR - This measure should take into account only authors affiliated with the institution. It really measures researchers' commitment to the IR activity." (Casella, 2010, p. 214).

[14] "Number of communities depositing in the IR - This PI gauges the level of diffusion and penetration of the repository among the different research groups active in an institution. As stated above it should always be taken into account that self-archiving is a practice differently adopted by researchers. Therefore a widespread deposit practice covering all affiliated research communities is a good indicator of the repository's success." (ibid p. 215).

[15] Even in medicine where mandates have been adopted (Morris & Thorn, 2009).

Table 3: Authors self-reporting self-archiving (adapted from Morris, 2009)

Year	Study	Population	Sample size	%	Where
2002	Swan & Brown, 2003.	ALPSP authors	1,246	11	'Preprint archives'
2002	Gadd, Oppenheim & Probets, 2003b	International authors	542	58	All destinations
2004	Rowlands, Nicholas & Huntington, 2004	International authors	3787	21	Institutional Repository
2005	Over, Maiworm & Schelewsky, 2005	German researchers	1028	14	'Preprints' – all destinations
2005	Ibid.	German researchers	1028	4	'Postprints' – all destinations
2005	Swan & Brown, 2005	International authors	1296	20	Institutional Repository
2005	Ibid.	International authors	1296	12	Subject repository
2005	Ibid.	International authors	1296	27	Personal or departmental website
2005	Ibid.	International authors	1296	49	All destinations
2005	Rowlands & Nicholas, 2005	International authors	5513	15.6	Institutional Repository
2005	Hoorn & van der Graaf, 2005	International authors	355	19	Institutional Repository
2005	Ibid.	International authors	355	43	Personal or departmental website
2006	Kim, 2010	US Faculty	480	28.3	Subject Repository
2006	Ibid.	US Faculty	480	22.7	Institutional Repository
2007	Biosciences Federation, 2008	UK researchers BSF members	1368	29	All destinations
2007	Brighton, Creaser & White, 2008	UK Researchers and Postgraduates	2122	24-32	Institutional Repository
2009	Schonfeld & Housewright, 2010	US faculty	3025	15	Institutional Repository
2009	Ibid	US faculty	3025	30	All destinations

These self-archiving studies are not strictly comparable because of diversity of population and self-archiving destination, but do provide an illuminating range of results: between 15[16] and 22.7% of those covered self-archive in IRs, and this increases to between 28.3 and 58% when considering any archiving destination. These studies focused on self-reporting, tending to over-estimate actual behaviour: two studies estimated the proportion of articles that were available in a freely downloadable version. They found that just 11.3% were available in 2006 (Björk, Roosr & Lauri, 2008) and 20.4% in 2008 (Björk et al., 2010) – this 2008 data further breaks down into 8.5% published in OA journals and 11.9% available in repositories and websites.

The number of records can over-estimate the adoption rate of self-archiving[17] practices by scholars: content and records can be harvested automatically; and in some mediated deposit models (Xia & Sun, 2007a) the majority of documents are deposited by a librarian or administrative staff[18].

Xia also observes that the rate of full text availability is low compared to records containing only bibliographic information. The rate of metadata-only records is high in European repositories, ranging from 67 to 91% (Xia & Sun, 2007a). Kelly observed a 58% metadata-only rate in Bath University, and 45.7% for Southampton University, even though both institutions have adopted OA mandates (2011a).

Recognised Key Performance Indicators (KPI) for IRs include the total number of deposits in IRs (irrespective of whether they contain full text or not) and download statistics, but the argument Xia makes in favour of measuring full text rate is compelling:

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[16] Future researchers seem unlikely to change this trend: only 12% of doctoral students have deposited in IRs (Carpenter, 2012).

[17] "Self-archiving has been a vague term in the IR literature with regard to "self." Researchers either take for granted to treat all IR content documents as self-archiving deposits or do not care about the distinctions. If it is acceptable that others can help authors to deposit, the different archiving modes should at least become a measurable element in the assessment of self-archiving." (Xia & Sun, 2007b, p. 74).

[18] 23% of British librarians (n=300) reported that the library mediated all deposits, a further 10% report that their library mediates most deposits and 11% said there was no library involvement (Brown & Swan, 2007). Survey of twenty-five British institutions: 92% said deposits were most likely to be mediated by repository staff (Brighton, Creaser & White, 2008).

> The value of open access repositories partly resides on the online availability of full-text articles. Although metadata can provide important citation for research publications, it is full-text documents that attract the attention of researchers. A great number of non-full-text deposits in an IR will inevitably reduce the reliance of scholars on the IR in carrying out their projects. (Xia & Sun, 2007a, p. 16).

Metadata only records can certainly contribute to publication lists compilation and research assessment exercises (RAE), however "repositories are means by which the outcomes of research are made widely available." (Whitehead, 2005 p. 2). Full text availability measures how effective IRs are in achieving their two main objectives: "(1) maximising access to research publications and (2) ensuring long-term preservation of research publications." (Kelly, 2011b, n. pag.).

2.2.2 Authors' attitude to self-archiving, copyright and publishers' policies

Do authors' attitudes to copyright and publishers' self-archiving policies have an impact on full text and participation rates? Many studies have been performed to discover the awareness, attitudes and behaviour of authors in relation to OA (Table 4):

Table 4: Main sources for Xia's longitudinal survey of studies on authors' attitudes to OA (2010) to which Kim (2010) was added, and where surveys in parentheses are secondary sources

Year represented	Survey time	Source	Sample size	Population
1991	1992	Shamp, 1992	81	USA
1992	1992	Schauder, 1994	582	Australia, United Kingdom, USA
1993	1993–1994	Lancaster, 1995	150	USA
1994	1994	Butler, 1995	481	Multiple countries
1995	1995	Budd & Connaway, 1997	651	USA
1996	1996	Tomney & Burton, 1998	147	United Kingdom
1997	1997	Palmer et al., 2000; Speier et al., 1999	300	USA
1998	1998	McKnight & Price, 1999	537	United Kingdom
1999	1999	Swan & Brown, 1999	2,500	Multiple countries
2000	2000	Bjork & Turk, 2000	236	Multiple countries
	2000	(Sweeney, 2000)	62	Florida State University System
2001	2001	Anderson et al., 2001	104	Multiple countries
2002	2001–2002	Swan & Brown, 2003	1,246	Multiple countries
2003	2003–2004	Rowlands et al., 2004	3,787	Multiple countries
	2003–2004	(Swan & Brown, 2004)	311	Multiple countries
2004	2004	(Over et al., 2005)	1,028	Germany
	2004	Swan & Brown, 2005	1,296	Multiple countries
2005	2005	Rowlands & Nicholas, 2005	5,513	Multiple countries

Year represented	Survey time	Source	Sample size	Population
	2005–2006	(King et al., 2006)	49	University of California, Berkeley
2006	2006	(Morrison et al., 2006)	150	Canada
	2006	(Kennan, 2007)	202	Australia
	2006	Hess et al., 2007	688	Multiple countries
	2006	(University of California, 2007)	118	United States
2007	2007	Austin, Hefferman & Nikki, 2008	509	Australia
	2007	(Brown & Swan, 2007)	2,250	United Kingdom
2008	2008	Morris & Thorn, 2009	1,368	Multiple countries
2010	2006	Kim, 2010	684	United States

Research studies on OA are polarised, each party defending opposite positions: JISC (Joint Information Systems Committee) funded RoMEO and Key Perspectives studies defend author rights while Sally Morris, ex-CEO of the Association of Learned and Professional Society Publishers (ALPSP), or Cox Ltd on behalf of ALPSP, defend the publishers' stance[19]. It is crucial to be aware of stakeholders' interests and the arguments, assumptions and possible bias in articles written or studies conducted.

Awareness of the new scholarly communication models has increased over the years (Xia, 2010). But the gap between attitude and behaviour amongst scholars who support the OA movement in theory but do not contribute in practice by

[19] Interview of Sally Morris: "I think that this [institutional repositories and self-archiving – Ed.] is actually much scarier for publishers than the open access publishing model. While self-archiving may coexist with the subscription model, it has the potential to parasitize it to the point that it actually kills it. Institutional repositories may influence librarians to cancel subscriptions and could bring about the demise of a lot of journals very quickly." (Drake, 2007, p. 18).

failing to publishing in OA journals, depositing articles in open repositories, or posting them on their departmental/personal pages is quite high[20]:

> Even if persuaded of an intellectual case for OA, many researchers are reluctant to embrace what they see as a radical and untested alteration in the established methods of disseminating the results of their work (Hubbard, Hodgson & Fuchs, 2010, p. 4).

Due to low faculty participation, repositories have often only been able to collect a small fraction of an institution's research output. Grey literature and theses often make up the majority of content in these systems. Why are academic authors reluctant to adopt the practice of self-archiving?

First and foremost, busy scholars lack time (Troll Covey, 2011), and 'resent any additional activity that cuts into their research and writing time.' (Foster & Gibbons, 2005, n. pag.). The second most frequently cited reason for not depositing is uncertainty regarding the copyright position and publishers' attitudes to self-archiving: the OAK Law Project[21] survey participants cited these at 17 and 15% respectively (Austin, Hefferman & Nikki 2008).

Discipline-based norms and practices shape self-archiving behaviour more than the terms of copyright transfer agreements (CTAs) or publishers' policies (Antelman, 2006). Nevertheless, authors' attitudes to copyright have a great impact on self-archiving: the additional time and effort required to deposit and copyright concerns are perceived as the two main disincentives to depositing in a repository.

These "cost factors" are negatively associated with the percentage of self-archived research work, and outweigh perceived benefits such as increased citation rate, visibility and research impact (Kim, 2010 and 2011)[22].

Respondents to a JISC-RoMEO survey (n=542) feared either breaking existing publisher agreements (29%), or jeopardising potential publication (31%), by

[20] This is most apparent in the Biosciences Federation survey (2008), where only one third of the respondents who favour OA think self-archiving is a good idea (Morris & Thorn, 2009).

[21] The Open Access to Knowledge (OAK) Law Project in Australia, ran between 2005 and 2009, focused on how copyright could be best managed to facilitate greater access to and dissemination of research outcomes.

[22] Her research is corroborated by a Repository Support Project (RSP) and UkCoRR survey where authors cited copyright concerns and lack of time as the main reasons for not depositing in institutional repositories (RSP & UKCoRR, 2011).

self-archiving their research papers (Gadd, Oppenheim & Probets, 2003b)[23]. However, publishers' policies have become more "self-archiving friendly" over time (Table 5).

Table 5: Studies on self-archiving policies

Source	% of publishers allowing self-archiving	% of journals allowing self-archiving	Versions	Discipline
Gadd, Oppenheim & Probets, 2003c	42.5% of 80	49.1%	Pre and Postprints	All
McVeigh, 2004	n/a	55% of 20,000 journals indexed by Web of Knowledge	n/a	All
Coleman, 2007	90% of 52	n/a	Pre and postprints	LIS
Clarke & Kingsley, 2009	63% of 523	95% of 10,000	Pre and postprints	All
Keele, 2010	n/a	93.5% of 78	n/a	Law
SHERPA/RoMEO, 2012	65% of 1056	n/a	all	All

Publishers have also relaxed their attitude to copyright transfer (Table 6)[24].

[23] Yet, only 9% of self-archivers surveyed by Swan & Brown (2005) experienced instances of publishers refusing an article submitted by an author who has self-archived the preprint on the grounds of prior publication.

[24] Clarke and Kingsley, in their history of scholarly publishing, note that publishers only started to ask for copyright to be transferred when for-profit corporations started to replace editors and learned associations in the field, between 1950 and 1995 (2009).

Table 6: Studies of publishers' attitude to copyright transfers

Year	Source	% of publishers requiring a CTA	% of publishers also accepting a licence
2003	Scholarly Publishing Practice Survey 1 (Cox & Cox, 2003)	83	n/a
2005	Scholarly Publishing Practice Survey 2 (Cox & Cox, 2005)	61	21
2009	Harris (2009)	53	20

This needs to be qualified, however, as self-archiving may not always be extended to Institutional Repositories: although over 80% of publishers allow self-archiving to a personal or departmental website, only 60% allow it to IRs, and over 40% to subject repositories (Morris, 2009). In addition, publishers who allow self-archiving often set restrictions or conditions (e.g., an embargo period, that a link to publisher's website be provided in IR record, that specific text be displayed in the record). The work required to comply with publishers' policies, which differ from publisher to publisher but also from journal to journal from the same publisher, increases the time required to self-archive and is a disincentive to do so: keeping a schedule of embargos and maintaining the self-archived work over time (e.g., taking down a pre-print and replacing it with a post-print) either discourages potential self-archivers or encourages the disregarding of policies (Troll Covey, 2009). Policies are also susceptible to change, not necessarily in a more permissive fashion[25]. To add to the confusion, many publishers allow only the "author-prepared" or "author-created" version"[26] of an article to be deposited in IRs, while at the same time demanding the use of templates or online tools to

[25] The Institute of Electrical and Electronic Engineers (IEEE), one of the rare publishers who used to allow the published version to be deposited, implemented a new policy in December 2010 that only allows the "accepted manuscript". "PSPB Operations Manual - Electronic Information Dissemination" retrieved from http://www.ieee.org/publications_standards/publications/rights/rights_policies.html on 22nd June 20121.

[26] For example "Springer's self-archiving policy" retrieved from http://www.springer.com/open+access/authors+rights?SGWID=0-176704-12-683201-0 on 22nd June 2012.

submit "camera-ready" drafts[27]. These drafts then bear all the formatting of published versions; to fully comply with such policies, authors need to keep an unformatted copy of papers (London School of Economics, 2008), which is another time consuming, disincentivising activity.

Rights retained by authors who signed a CTA do not satisfy their needs: in order of importance, authors express a desire to (Morris, 2009):

- provide copies of their published articles to colleagues,
- incorporate them into their own work,
- post them to personal/departmental websites and open repositories, and
- use them in course packs.

For all purposes, they expressed a preference for the published version (Morris, 2009; Wallace, 2012), which is the version of record[28]. Yet publishers do not allow this: of the 1056 publishers listed on SHERPA/RoMEO[29], just 29% allow the deposit of the published version[30]. The gap between what authors think they can do (i.e., self-archive the published version) and what publishers actually allow (Morris, 2009) reinforces the idea of a mismatch between authors' wishes and publishers' actual policies.

The OAK Law Project Survey conducted with Australian academic authors has demonstrated that the majority of academic authors would prefer to retain rights of Open Access in their works through a licence (Fitzgerald & Austin, 2008), but, due to a lack of knowledge about their rights and how to negotiate with

[27] Lecture Notes in Computer Science (Springer) authors need to use a template for submission: "Information for LNCS Authors" retrieved from http://www.springer.com/computer/lncs?SGWID=0-164-6-793341-0 on 22nd June 2012.

[28] The Ithaka survey confirmed that "The material type that most faculty have the greatest interest in both depositing and using is the traditional published article, which remains the basic unit of scholarship for many faculty members." (Schonfeld & Housewright, 2010, p. 29).

[29] Data retrieved from SHERPA/RoMEO "Publishers allowing the deposition of their published version/PDF in Institutional Repositories" available at http://www.sherpa.ac.uk/romeo/PDFandIR.php?la=en on 22nd June 2012.

[30] 70% of publishers listed on SHERPA/RoMEO do so without restriction, 18% with an embargo (three months to five years), and 5% require permission. Sixty per cent of publishers allow the deposit of the published version or of the final draft without delay, and 94% of journals allow archiving of peer-reviewed articles after any embargo period has expired and any additional restrictions have been complied with (Millington, 2011).

publishers [31] do not negotiate to amend publisher agreements[32] nor use Creative Commons licences. Authors are often unsure as to what rights they have retained or other terms and conditions of their publishing agreements, and find legal issues regarding copyright and licences difficult to understand[33].

Retention of copyright and awareness of policies regarding self-archiving in particular, is a low priority for authors[34] compared to workload or a desire for recognition and promotion. Copyright transfer agreements are rarely read[35], so unsurprisingly they play a negligible role when choosing a journal for publication (Swan & Brown, 1999)[36]. "Authors' views on copyright may be characterized as a mixture of indifference, ignorance … and principled resentment aimed primarily at commercial publishers." (Rowlands, Nicholas & Huntington, 2004, p. 265). Almost one quarter of authors who responded (n=1296) to the Key Perspective survey were not aware of the terms of their CTAs, either not knowing who owned copyright, or assuming that they owned it (Swan & Brown, 2005). Very little self-

[31] To the questions: "In cases where you prefer to retain some copyrights but do not negotiate with publishers to do so, what prevents you from negotiating or modifying the copyright terms of the agreement?", respondents answered: Refusing to sign might jeopardize my ability to be published - 12.8%; It is too much trouble to negotiate with the publisher - 9.3%; I don't have the time to negotiate - 10.5%; I don't have the knowledge to negotiate - 12.8%; I have not thought about this issue - 26.7%; "What one thing that would make it easier for you to negotiate or modify the copyright terms of a publication agreement?" respondents answered: I had precise instructions and examples of how to do it - 34.5%; I had someone to do it for me. 25.3% (Ober, 2005, pp. 24-25).

[32] 18% of respondents to a University of California survey have at one time modified the terms of a copyright agreement or contract (Ober, 2005).

[33] Sixty per cent (n=194) of respondents to the FP7 Open Access survey rated legal issues regarding copyright and licences difficult or very difficult to understand and 75% found negotiating with publishers difficult or very difficult (European Commission, 2012).

[34] Only 3% of authors insisted on retaining copyright, 49% reluctantly assigned it to publishers, 41% freely and 7% indicated that publishers did not retain copyright (Gadd, Oppenheim & Probets, 2004).

[35] A CIBER study of 3,787 senior researchers indicated that 46% take no interest in copyright and IPR policies, while 13% of authors take a "detailed interest" in CTAs (Rowlands, Nicholas & Huntington, 2004).

[36] Fifty per cent of the respondents to the Pleiade Management & Consultancy survey (n= 355) stated that the copyright policy did not play a role in choosing a journal for publication; 34% stated that it played a minor role; 15% indicated that it played a major role in choosing a journal for publication of a research article (Hoorn & van der Graaf, 2005). This lack of concern is replicated in LIS authors (Carter, Snyder & Imre, 2007). In two surveys conducted at University of California, 34% of respondents (n=118) don't examine the CTA before signing (University of California, 2007), 14.3% (n=91) do not consider copyright issues important at all when signing a CTA and 17.6% don't care about the terms of the agreement (Ober, 2005).

archiving behaviour is driven by what authors find in SHERPA/RoMEO, with only 10% aware of it (ibid.). Even if knowledgeable about copyright ownership or publisher requirements, most authors are willing to self-archive regardless of their publishers' policies or without their permission[37]. Lack of respect or concern for publishers' policies is wide-spread, perhaps because these issues were less important prior to digital repositories and Open Access (Connaway & Dickey, 2009).

Authors are failing to exploit the 'liberalisation' of copyright policies and opportunities to disseminate their work to a wider audience: "the opportunity to self-archive far exceeds the practice" (Troll Covey, 2009, p. 223)[38]. This is possibly because self-archiving terms and conditions are ambiguous, convoluted, or non-existent: Antelman (2006) and Jenkins et al. (2008) found that many copyright transfer agreements are silent and/or ambiguous about self-archiving rights[39], and do not make the publisher's position on self-archiving clear or

[37] "Nearly half of self-archivers (47%) said they were not required to ask permission to self-archive from their publisher. 36% don't know, but 17% said that permission was required. When asked if they *did* ask permission, 16% said they did but 84% did not. Almost all (95%) of those who said permission wasn't required went ahead and self-archived without asking for it, unsurprisingly. Interestingly, though, the people who said that permission was required did not all ask for it – in fact only just over two thirds of them did, the rest going ahead and self-archiving anyway." (Swan & Brown, 2005, p. 56). Pinfield found that a significant percentage of authors who are self-archiving irrespective of the terms of their agreements or without pursuing clarification from publishers, or are willing to ignore the terms (2001). Gadd, Oppenheim & Probets reported that 12% of authors surveyed would ignore publishers' policies forbidding them from making articles freely available on the web (2003a). Owen reported that "Faculty members at UMD often post their research on personal or departmental websites, despite the fact that this often constitutes a violation of copyright." (2011, p. 145). One third of the respondents to the Pleiade Management & Consultancy survey (n= 355) reused their articles without asking permission: of the third who did ask permission of the publisher, 83% always got it; the rest occasionally did not. Of those, nearly 30% no longer asks permission. A fifth of authors indicate that they do not reuse their own articles the way they would like because of the effort of asking permission (Hoorn & van der Graaf, 2005 and 2006).

[38] Looking at the self-archiving practice at Carnegie-Mellon University (prior to the implementation of their IR), Troll Covey found that, of the total number of articles cited on department web pages, 77% could have been self archived in compliance with publishers' policies. 32% were actually self-archived, 7% of which despite publishers policy that prohibited this activity. The gap between the number of articles that are 'lawfully' self-archived and the number that could be self-archived is 64% across all departments (2009).

[39] Murray-Rust describes his frustrating experience of checking for Springer's policy on self-archiving (2007).

comprehensible[40]. Even where agreements address self-archiving, they often lack information on what version can be deposited. Ambiguity also exists in the more standardised self-archiving conditions described in SHERPA/ROMeO database of publishers' self-archiving policies[41], particularly about permitted versions and types of repository in which archiving is allowed (Morrow & Mower, 2009): 53% of IR managers surveyed reported that, despite being used by 97.8% of them, this tool did not completely satisfy their information needs (Hanlon & Ramirez, 2011).

Half of the 114 European IR managers surveyed by DRIVER[42] cited the following as the two most important inhibitors for the development of their digital repository and its contents:

- the situation with regard to copyright of published materials and the knowledge about this among academics;
- the lack of an institutional policy of mandatory depositing (van der Graaf & van Eijndhoven, 2008).

2.2.3 Mandates and institutional support for Green OA

OA mandates are creating an opportunity to expand content by making deposits of publically-funded research in a repository mandatory, but do they really improve self-archiving? They are intended to overcome both the resistance to self-archiving and any gap between attitude and behaviour (mentioned earlier in this chapter). As mandates are on the increase[43], especially in Europe[44], the Gold

[40] Coleman studied the CTAs of fifty-seven ISI-ranked LIS journals and found that while 90% appear to permit self-archiving in some form or another, and 67% are ambiguous, though 'not negative nor prohibitive' on the topic (2007).

[41] Jenkins et al. describe the difficulties encountered in developing a controlled vocabulary to be used to analyse journal publishers' self-archiving policies for SHERPA/ROMeO (2008).

[42] The DRIVER Project, Digital Repository Infrastructure Vision for European Research, ran until 2009. It was set up to support the establishment and development of a European open access repository infrastructure.

[43] From just under twenty in 2006 to over 241 in June 2012. Of these OA mandates, 151 are institutional mandates and 53 are funders' mandates -see ROARMAP "Homepage", retrieved from http://roarmap.eprints.org/ on 22nd June 2012. ROARMAP, the Registry of Open Access Repository Material Archiving Policies, tracks institutions (governmental and private funding agencies as well as research institutions) worldwide that have adopted self-archiving policies, from recommendations to full mandates.

[44] 232 mandates were listed for Europe and 103 in North America on 22nd June 2012 in ROAR "Browse by Country", retrieved from http://roarmap.eprints.org/view/geoname/.

road to OA seems to be have been superseded by the Green one: of the overall number of OA articles available, there are more self-archived in repositories than published in OA journals (Gargouri & Harnad, 2010). Mandates are the most efficient way to increase deposits (Harnad et al., 2009), but they are not a panacea. For one thing they reinforce the idea that depositing in repositories is "an obligation, not unlike filling out tedious forms and backing up your hard drive" (Bankier & Perciali, 2008, p. 22). This sentiment is confirmed by recent studies: institutional repositories are "perceived as another burden[45] creating additional work" by academics and researchers (CIBER, 2010, p. 15). Moreover, mandatory deposit policies do not apply retrospectively[46], leaving much of the institutions' previous research output out of reach.

Funders' mandates[47] have not yet changed deposits drastically because little is done at institutional level to ensure compliance with funder requirements or to coordinate research support activities between libraries and research administration offices (Greyson et al., 2010). Furthermore, mandates are coming under attack with proposals such as the United States Research Works Act (H.R. 3699)[48], aimed at eliminating federal OA policies such as the NIH Public Access Policy. Whilst general scholarly awareness of Open Access has increased,

[45] "[They] begrudge any time spent on activity which seems to them to serve an administrative need, seeing their job as to perform research, not administration. And the bad—if not unexpected—news for libraries is that institutional repositories fall squarely into the latter [burdensome, Ed.] category, as far as researchers are concerned, since they lack any essential motivation to deposit their research outputs in them." (MacColl & Jubb, 2011, p. 4)

[46] "The most attractive solution would be the initiation of a mandatory deposit policy by the institution. However, such a policy may not include, much less have any legal ground to enforce, the deposit of previously published articles. The only way to capture the scholarly works already disseminated is if the publisher has some degree of acceptance of institutional archiving and the author and repository are able to satisfy publisher conditions." (Morrow & Mower, 2009, p. 294)

[47] Such as the NIH Public Access Policy requirement for NIH funded researchers to deposit their works into PubMed Central since April 2008.

[48] "No Federal agency may adopt, implement, maintain, continue, or otherwise engage in any policy, program, or other activity that - (1) causes, permits, or authorizes network dissemination of any private-sector research work without the prior consent of the publisher of such work; or (2) requires that any actual or prospective author, or the employer of such an actual or prospective author, assent to network dissemination of a private-sector research work." "United States Research Works Act H.R. 3699" retrieved from http://thomas.loc.gov/cgi-bin/bdquery/z?d112:HR3699: on 12th May 2011.

ignorance of IRs remains a key reason for not depositing, and various surveys[49] suggest no improvement over time, with a perception gap between what institutions think they promote (OA and self-archiving), and researchers' awareness of their institutions' policies[50].

If awareness is achieved, mandates and policies can be an incentive to deposit: self-archiving biosciences authors were driven by funder mandates (23%) or by institutional policies (20%) (Morris, Thorn & Fraser, 2009). This relative success may have prompted some publishers to retaliate by 'mandate-proofing' their policies: in January 2011 Elsevier moved to prohibit users from depositing in repositories if mandated to do so[51]. Recipients of FP7 grants (the European Commission mandates research outputs funded under its seventh framework programme for research to be made open access) who responded to the Open Access survey (n=194) were able to make 76% of their articles available on open access (European Commission, 2012); 11% mentioned their CTA prohibiting self-archiving as the main reason for not doing so.

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[49] 56% of respondents to a CIBER survey rated their knowledge of institutional repositories at a much lower level than that of open access journals (Rowlands & Nicholas, 2005), while 72% of RIN respondents didn't know that an IR existed at their institution (Brown & Swan, 2007), neither 50-70% of an Ithaka survey participants (Schonfeld & Housewright, 2010) and 64 per of the learned society members (Morris, 2009). 29% of respondents to the OAKLaw Project survey cited ignorance of availability of repositories as the main reason for not depositing (Austin, Hefferman & Nikki, 2008).

[50] A fifth of the responding institutions to a survey comparing libraries and researchers' attitude to OA reported that self archiving was mandatory, with a further 58% noting that this was encouraged. However 46% of researchers did not know about their institution's position, with only 8% were knowledgeable about the mandate (Creaser, 2010).

[51] Elsevier's Article posting policy: "Permitted Scholarly Posting means: voluntary posting by an author on open Web sites operated by the author or the author's institution for scholarly purposes, as determined by the author […] Elsevier believes that individual authors should be able to distribute their Accepted Author Manuscripts (AAMs) for their personal voluntary needs and interests, e.g. posting to their websites or their institution's repository, e-mailing to colleagues. However, our policies differ regarding the systematic aggregation or distribution of AAMs to ensure the sustainability of the journals to which AAMs are submitted. Therefore, deposit in, or posting to, subject-oriented or centralised repositories (such as PubMed Central), or institutional repositories with systematic posting mandates is permitted only under specific agreements between Elsevier and the repository, agency or institution" "Systematic Distribution of AAMs means: policies or other mechanisms designed to aggregate and openly disseminate, or to substitute for journal-provided services, including: Institutional, funding body or government manuscript posting policies or mandates that aim to aggregate and openly distribute the work by its researchers or funded researchers." retrieved from http://www.elsevier.com/wps/find/authorsview.authors/postingpolicy on 22nd June 2012.

One strand of institutional support activity successfully experimented with in Australia is the Open Access to Knowledge (OAK) Law Project which developed legal protocols and frameworks for managing copyright issues and for improving knowledge about legal rights in an OA environment. Key insights gained from the project stressed both the importance of OA policies, which increase deposit rates, and the necessity for the proper understanding and management of copyright (Fitzgerald et al., 2009)[52].

Mandates and OA policies are changing the current environment of scholarly dissemination, but managing copyright in a way that serves authors' interests and those of the scholarly community is essential to the lasting transformation of the scholarly communication paradigm. How are institutions and libraries addressing those copyright issues?

2.2.4 Copyright management and support

2.2.4.1 At university level: endorsement of rights retention and copyright risk management

In North America, national library organisations have endorsed research dissemination strategies favouring rights retention and ensuring the broadest uses of funded research presently and into the future. In 2008, the Canadian Library Association called upon libraries to 'support and encourage authors to retain their copyright, for example through the use of the SPARC Author's addendum, or through the use of Creative Commons licensing' (Canadian Library Association, 2008). The following year, a consortium of library and university organisations in the United States[53] recommended that universities encourage faculty authors to negotiate with publishers so that contracts permit immediate open access, either by modifying CTAs or using an author addendum (Hahn et

[52] "[Academic authors] want education and assistance about their rights so that they can negotiate for the retention of rights with publishers and understand the benefits and disadvantages for them in depositing in repositories or publishing in open access journals [...]. The failure of institutions to address those issues has led to a sizeable number of authors either ignoring repositories/open access journals or developing uninformed opinions, making traditional subscription based publishing more attractive" (Fitzgerald & Austin, 2008, p. 3).

[53] "The University's Role in the Dissemination of Research and Scholarship — A Call to Action" (Hahn et al, 2009) was signed by the Association of American Universities, the Association of Research Libraries, the Coalition for Networked Information and the National Association of State Universities and Land Grant Colleges.

al., 2009)[54]. This strategy was spearheaded by University of California, Berkeley in 2005[55], and has since been implemented by other universities: Harvard, Massachusetts Institute of Technology, Stanford and many others have mandated retention of the right to self-archive, and Princeton's OA policy prohibits staff from assigning copyright to publishers[56].

In Europe, British university staff are encouraged to retain copyright in their research outputs and to negotiate permission for a copy to be made available on open access in respectively 28% and 26% of respondent institutions (Brighton, Creaser & White, 2008). Model licence agreements were available to assist in such negotiations in 32% of institutions (Ibid.).

The 2009 ARL survey finds that in the United States:

> Increasingly libraries are providing services [...] to help authors navigate a new environment where intellectual property, author rights and copyright have become a substantial component of discussions related to scholarly communication and to the endeavours of universities at large. (Fisher, 2009, p. 17)

Very few academic libraries in Canada offer such "author services" (Horava, 2010). Some have incorporated this function into their organisational structure, by delegating responsibility to an individual, usually a copyright officer or librarian with responsibility for scholarly communication (ibid.). But in most institutions, this function is fulfilled by a department separate from the library (usually the Research office) with responsibility for managing copyright from the perspective of rights-holders. Engagement with copyright issues, evidenced by having a dedicated copyright librarian position and the monitoring of copyright developments, is more prevalent in the United States than elsewhere (Shachaf & Rubenstein, 2007).

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[54] An Association of Research Libraries (ARL) survey (Fisher, 2009) sought information on the use of author addenda and the methods by which libraries conduct promotion and outreach efforts on the topic of author rights. It sought to establish the level of endorsement and promotion of author rights and the use of an addendum. Fifty-two per cent of respondents reported that an author addendum had been endorsed by administrators or a governing body at their institution or consortium. Sixty-eight per cent indicated that their institutions were promoting the use of an author addendum.

[55] University of California at Berkeley's Statement of Principles on Scholarly Publishing: 'The faculty of the University of California, Berkeley will seek to maintain control of [the faculty's] work by retaining IPR and/or by submitting their work to alternative venues' (2005).

[56] Princeton University, "Open Access policy" retrieved from http://www.cs.princeton.edu/~appel/open-access-report.pdf on 7th October 2011.

There is little relationship between publishers' policy and self archiving behaviour, and publishers' policies do not influence either the decision to self-archive nor the version that is self-archived (Antelman, 2006). Publishers' PDFs represent half of deposits at Carnegie Mellon, regardless of whether publisher policies allow self-archiving of this version[57] (Troll Covey, 2009). This lack of awareness or concern for compliance constitutes a problem for institutions that risk potential litigation resulting from infringement. It is in the institutions' interest to convince authors that copyright law is important and to persuade them to follow copyright risk reduction strategies[58].

Many repository practitioners emphasise the need for a risk management strategy as a crucial aspect of copyright management (Desmond, 2009; Taylor, 2008; Proudfoot, 2008) to ensure that material deposited in the repository does not expose the institution to legal challenges from publishers.

A risk assessment of copyright considers the probability of law enforcement in cases where a library infringes copyright laws. Casey et al. provide a useful conceptual 'formula'[59], describing the components and relationships of copyright risk:

> Probability (of infringement) * Probability (of getting caught) * Probability (Rights holder sues) * Costs awarded = Risk (2007a, p. 6)

[57] Troll Covey established it was impossible to determine whether self-archiving practice was compliant with publisher policy on the departmental web pages she looked at, so she looked into 'alignment' instead, i.e. if deposit on departmental website and publisher version was allowed. Half of the total articles were aligned, and 38% were not; for the 12% remaining, policies were unclear about versions or inexistent (2009). It would be easier, but very labour-intensive, to study compliance in an repository, even though pre- and post-print versions can't always be distinguished from authors' manuscripts: respect of embargo period can be assessed using the date created filed of the record, individuals records can be checked to see if preprints were removed on publication, to look at the display of specific text before and after publication, and verify the presence of links to publishers website.

[58] "Libraries and institutions of higher education must increase faculty understanding of copyright law and work to bring faculty self-archiving practice into closer alignment with publisher policy. Perhaps the key issues are awareness and respect – from both the author's perspective and the publisher's." (Troll Covey, 2009, p. 248).

[59] "Libraries in general are zealous about requesting and paying for permissions whenever possible. When that is not possible, understanding the enforcement mechanism for copyright protection lets us make an economically rational decision about how far to go to attempt to find a rights holder, and when to take a calculated risk to provide service for our patrons." (Seadle, 2006, p. 158).

The creation of the RoMEO/SHERPA database demonstrates libraries' risk-adverse and "law-abiding" approach to copyright (Ober, 2006): by raising awareness of publishers' policies, the database promotes compliance (Secker, 2010). However, over-compliance is problematic:

> Cautious risk management approaches aimed at avoiding litigation may add administrative expenses to the institution in the form of unnecessary licensing fees and time-consuming permissions seeking (Clement, 2011, p. 404).

The TrustDR[60] report on Intellectual Property Rights (IPR) for e-learning objects (Casey et al., 2007b) outlines the components of a copyright risk management strategy for digital repositories[61], stressing the need for copyright training and guidance. Secker also argues in favour of providing a copyright education programme: having one in place "could act as valuable defence in court [as it places] the onus on the individual who carried out the infringement, rather than negligence on the part of the institution" (2010, p. 162). Other risk mitigation measures include: the hiring of specialized IP personnel, development of processes for systematic rights clearance, direct engagement with publishers (Palmer, Teffeau & Newton, 2008) and agreement on copyright clearance procedures (Proudfoot, 2010).

2.2.4.2 At library level: copyright management for repositories[62]

> This [disseminating of academic institutions' scholarly output] represents a reformulation of library roles in which significant resources are devoted to distributing and preserving the scholarship of their own institution (Ober, 2006, p. 221).

[60] The Trust in Digital Repositories project investigated issues relating to the use of Digital Repositories for e-learning objects.

[61] These components are:
- clear and consistent institutional and repository IPR policies;
- active management of the repository content and monitoring of its use;
- IPR awareness training;
- guidance on asserting rights;
- Acceptable Use Policy;
- use and observation of licences;
- access restricted by password;
- indemnity clause;
- non-endorsement clause;
- Notice and Take Down Policy (Casey et al., 2007b).

[62] Some studies deal with IP management activities related to digitisation (Troll Covey, 2005; George, 2005; Dryden, 2008) and have not been included in this review as they are out of scope.

A survey of repository managers around the world provided an overview of the staffing, resources, activities and tools employed in copyright clearance of published works (Hanlon & Ramirez, 2010 and 2011). Librarians and library staff are responsible for 60% of all permissions activities[63], the remainder being undertaken by authors, legal counsel or other staff. 95% of British universities actively manage copyright[64] for items deposited in the repository, 86% centrally (i.e., by the institution, not the depositor) and 60% carry out the function within the Library & Information services (Jones, 2008). Copyright management activities are, therefore, primarily a library function. This activity is essential as most academic staff who support self-archiving are unwilling to deposit content themselves (Mackie, 2004) and would prefer deposits to be done for them (Antelman, 2006; Watson, 2007). 69% of Cranfield University academic staff view copyright issues and permissions processes as a challenge and 29% listed "ensuring that depositing... would not upset the publishers with whom they had signed a CTA" as a condition to their participation (Watson, 2007, p. 5). Kim established that "concerns about copyright [are] found to be positively related to IR contribution, and this implies that professors have an expectation that IRs can properly manage copyright issues" (2011, p. 252).

Mediated deposit, where material is deposited on behalf of the author by a third party[65], or copyright and/or record quality is checked by specialised staff, is arguably the most effective way to populate the repositories and improve the full text rate (Mackie, 2004; Xia, 2007), while ensuring systematic compliance with funders' requirements (Hahn, 2009). Twenty three per cent of British libraries mediate all repository deposits, and only 11% were not involved in deposits at all, leaving 66% at least partially mediating deposits (Brown & Swan, 2007).

[63] These activities consist of: recording publisher's copyright policy; contacting publishers for permission to deposit materials in IR; reviewing author licence agreements; reviewing publisher's copyright policy; locating publisher's copyright policy (Hanlon & Ramirez, 2010).

[64] IP management activities listed are: check publisher requirements; contact publisher for clearance and/or clarification; contact author for alternative version of deposit object; add publisher statements; enforce embargoes; inform publisher prior to final deposit; provide links to publisher's sites; add acknowledgement of publisher and source (Jones, 2008).

[65] Forty-one percent of British academics (n=551) surveyed the Research Support Project and UKCoRR by did not deposit their publications themselves (RSP & UKCoRR, 2011).

Additional copyright checking work is required to track down policies from publishers' websites or to contact publishers directly where self-archiving policies are not explicit or do not exist (Mackie, 2004; Hanlon & Ramirez, 2011).

However, even when copyright support and management activities are seen as necessary or beneficial, a lack of staff resources often means that these activities are a drain on repository resources. Copyright checking for IRs is a time-consuming[66] and resource-intensive (Akmon, 2010) task: most of their content is published and therefore requires copyright clearance before it can be deposited.

> Difficulties with solving copyright problems often hamper the filling of digital repositories and hinder a smooth management of the repository. Questions about ownership of the works in the repository, or getting permission to use a work in accordance with the ideas and principles of open access frequently take a lot of time or even hinder the creation of a fully accessible repository (Mossink, 2008, p. 103).

Palmer et al. identified copyright clearance as a significant hindrance to IR success, with respect to both repository managers and faculty, who reported that "the time and effort involved in determining or securing copyright often outweighed IR benefits" (2008, p. 25). Some institutions, like the University of Maryland, have had to abandon the deposit of published material due to insufficient resources (Owen, 2011)[67].

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[66] "I have stared at lengthy CVs with a sigh, and then waded resolutely in to clear rights on as many of the publications as I could. I have searched SHERPA/RoMEO and Bowker's Books in Print. I have hunted down agreements from publisher websites. I have asked faculty for their copyright-transfer-agreement files, and tried not to let my smile grow too pained when they told me they don't keep such things. I have explained the difference between preprints, postprints, and publisher PDFs to politely incredulous auditors. I have read scads of legalese, and interpreted it as best I could. I have read and pondered the words of librarians and lawyers who understand the legal fine points much better than I. I have made some risky calls, likely some wrong ones. I haven't been called on the carpet for them... yet." (Salo, 2008, n. pag.).

[67] "Unfortunately, the DRUM [Digital Repository at the University of Maryland] staff greatly underestimated the time and effort required to obtain publisher permissions and deposit the research. To ensure that copyright was not violated, publisher policies were verified by checking the SHERPA/RoMEO Publisher Copyright Policies & Self-Archiving database. In instances where policies could not be located, publishers were contacted directly for permission to deposit in DRUM, prolonging the submission process. Even though the project was successful, this deposit model was too laborious to be sustained by a repository staff consisting of only 1.5 staff members. Because much of this formally published research was most likely available on the journal website or in another repository, such as PubMed Central, the decision was made to discontinue the project and instead concentrate on acquiring and making available the unique gray literature produced at the university." (Owen, 2011, p. 145).

The biggest challenge cited by repository managers regarding copyright clearance is not limited staffing or time though: instead it is educating authors on copyright (Hanlon & Ramirez, 2011[68]; Horava, 2010[69]).

2.2.5 Promoting copyright awareness

An ACRL review of current literature ranks the probability that 'libraries will continue to lead efforts to develop scholarly communication and intellectual property services' (Lewis, 2010, n. pag.) amongst 2010's top ten trends in academic libraries: recent developments illustrate a trend toward pro-activity in educating faculty and students about author rights and OA publishing options.

2.2.5.1 Scholarly communication and research support services

A North American academic library survey concerning scholarly communication education activities and their impact (Newman, Blecic & Armstrong, 2007) found that academic libraries are leading campus-wide efforts to change Scholarly Communication (SC), proactively educating faculty and students about author rights and OA publishing options, and providing scholarly communication services to assist faculty publishing: 75% of respondents have engaged in such educational activities, and a further 18% were planning to do so (ibid.). This has resulted in the creation of SC librarian positions[70], hiring of copyright officers, or integration of SC responsibilities into position descriptions (Lewis, 2010). Copyright education is done under this umbrella, as part of a holistic approach to scholarly communication issues[71].

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[68] Educating authors on copyright (74.4%); obtaining publisher copyright policies (6%); interpreting publisher copyright policies (50%); limited staffing for copyright clearance activities (48.8%); limited time for copyright clearance activities (42.7%); creating a scalable model for copyright clearance (34.1%); limited copyright expertise (30.5%); determining the identity of the publisher (19.5%) (Hanlon & Ramirez, 2011).

[69] The answers received by Horava to his question on the "biggest challenges" faced by Canadian academic libraries in dealing with copyright issues led him to conclude that "many copyright challenges face libraries, particularly the effective education of users and the complexities of interpreting the law." (2010, p. 20).

[70] A third of the responding institutions identified a "Chief SC Librarian" but in the majority of the cases this role was fulfilled part-time or as a split responsibility; the survey also identified a concern amongst librarians that most libraries' SC initiatives are an addition to an already heavy workload (Newman, Blecic & Armstrong, 2007).

[71] Topics listed were: economics of scholarly publishing; author rights management ; contributing to digital repositories; benefits and examples of open access journals; implications for teaching of giving away copyright; author activism (e.g., refusing to publish in expensive journals); future of scholarly society publishing; impact of new

The British Isles' equivalent to SC support is Research Support (RS) services. These are broader in scope than SC, and also include activities at all stages of the research lifecycle[72]. A 2007 Research Information Network (RIN) survey investigated research support offered by British libraries and researchers' perceptions and use of these services. Both researchers and librarians see the provision of advice in the area of IPR and copyright as an important role for libraries: it is the highest scoring subject for the provision of on-demand advice. Seventy-three per cent of librarians say their own library offers such advice, but only 21% offer formal training on this subject to researchers, showing a reactive approach rather than a proactive one. Regarding author rights, 'only 6% of researchers report that their library proactively provides advice about establishing copyright for their own work, while 17% say their library provides such advice on request' (Brown & Swan, 2007, p. 52). Libraries seem to provide researchers more support in using works protected by copyright than in protecting their own intellectual property rights. Therein lies a gap to fill: the second RIN report on British universities outlines the needs for research support services in the area of copyright:

> Many researchers express confusion and some anxiety over intellectual property issues, particularly copyright. On the one hand, they do not wish to become embroiled in discussions on a range of complex issues […] On the other hand, they express a need for advice and support on issues including:
> - whether or not they should assign copyrights to publishers, and the extent to which they retain rights over their own publications for use in teaching and other contexts;
> - the use and implications of Creative Commons licensing; [...]

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models on peer review, promotion and tenure, etc.; national/international public access developments such as Federal Research Public Access Act of 2006, NIH policy, etc.; editor activism (e.g., working within scholarly societies to improve open access to articles); future of the scholarly monograph ; disciplinary differences in communication practices.

[72] Some functions are filled by research administrators, e.g alert researchers to grant opportunities from a range of funding bodies and help them locate potential collaborators; others by librarians e.g. help researchers to investigate their standing within their field through the use of bibliometrics, including the management of citations and citation analysis; curate and preserve research data; manage and preserve e-prints. MacColl & Jubb explain the two fundamental differences between the two approaches: "The first is the prominence of the assessment environment in the UK, represented by the domination of the RAE/REF [the Research Assessment Exercise and its successor, the Research Excellence Framework, are methods of assessing the research of British higher education institutions] in researcher, librarian and research administrator consciousness. […] The second is the clearer division of responsibilities between research librarians and research administrators in the US." (2011, p. 6).

- the need for permissions clearances and how to secure them. (CIBER, 2010, p. 14).

2.2.5.2 Involving librarians

Horava (2010) argues that academic librarians have an educational and ethical responsibility to engage with copyright education, stressing the central role copyright plays in what information is available and for what, impacting on academic freedom and scholarly communication. In light of the crisis of scholarly work dissemination, Hoon (2003) sees librarians' involvement with copyright issues related to SC as vital[73]. However, academic librarians have an ambivalent attitude to Open Access and related copyright issues and do not practice what they advocate[74]. This gap between behaviour and attitude is most evident in Palmer et al.'s (2009) survey of academic librarians in the United States: while strong support is given to educating faculty members about Open Access (77%) and copyright issues related to faculty publications (74%), only 7% took part in such educational campaigns.

Supporting scholarly communication entails a familiarity with the OA movement as well as an understanding of copyright issues and of new models of publishing which is lacking[75], with the result that librarians feel unprepared to discuss author rights. This new role as a copyright expert or advisor is not one librarians

[73] Many Open Access advocates have argued that librarians need to take a role in educating scholars on what authors should consider before making their work available, i.e. copyright restrictions that may apply to articles already published, and means of retaining one's copyright for work to be published in the future (Harnad et al., 2004; Suber, 2003). Horwood et al. (2004) recommend that librarians involved in e-print repositories should address concerns related to self-archiving, and encourage authors to negotiate with publishers. Bailey suggests that reference librarians could support institutional repositories through copyright education and promotion of alternative scholarly communication options (2007). Jenkins, Breakstone & Hixson (2005) argue that subject librarians, being familiar with the cultures of different academic disciplines, are uniquely positioned to address academics' concerns about disseminating their work in repositories: they could for example answer the copyright queries focusing on the practices of the publishers relevant to each discipline.

[74] When publishing, they self-archive less than other disciplines (Coleman, 2007), do not negotiate additional rights with publishers (Carter, Snyder & Imre, 2007) nor favour OA publishers over traditional ones (Palmer, Teffeau & Newton, 2008).

[75] The difficulty of educating librarians so they can engage with faculty about SC issues is reported as a major stumbling block in an ARL survey (Newman et al., 2007). It is also highlighted in an ACRL survey on scholarly communication, where librarians expressed a wish for more training on these issues (ACRL, 2006).

are confident about[76], even though they recognise the growing importance of copyright issues in the evolution of library roles[77].

Before librarians can confidently approach and effectively educate the rest of the academic community about SC issues, a training program should be put in place (Kirchner, 2009). The Rights Well workshop[78] was developed to address the apprehension expressed by librarians at Oregon State University to talk about copyright (Chadwell & Wirth, 2010). The authors aimed to educate librarians as authors to further develop their understanding of copyright transfer and negotiation, and to enable them to educate faculty members in other disciplines (Wirth & Chadwell, 2010).

2.3 Summary and conclusions from the literature

This literature review broadly explored the topic of copyright related to scholarly communication, aiming to identify issues and themes for further exploration. It reviewed what is being done in areas of copyright management and copyright education related to scholarly communication and OA. Regarding methodology, research in the field has exclusively consisted of cross-sectional designs involving self-completion questionnaires (Hanlon & Ramirez, 2011; Greyson et al., 2010; Jones, 2008; Horava, 2010) and content analysis of copyright web pages (Horava, 2008; Shachaf & Rubenstein, 2007). The following findings were reached:

- a lack of copyright awareness was identified as a factor for non-participation and low self-archiving behaviour; copyright issues related to scholarly communication were also identified as a knowledge gap for librarians;
- copyright is a sensitive issue requiring risk management;

[76] "To take up the question of how scholars as creators and authors can and should actively manage their intellectual property when they disseminate their work is no easy task. Nor is it easy for librarians to declare a role and devise services that support that behaviour, even supposing that they are confident about both what is permissible and what copyright behaviour best serves their own interests and those of scholars, disciplines, and the progress of knowledge generally." (Ober, 2006, p. 219)

[77] 38.2% see the role of Specialist advisor in copyright/IPR issues as core, 50.7% as an ancillary role, and 6.2% don't think it is a role for librarians (Brown & Swan, 2007).

[78] The workshop, which is part their SC outreach programme, focuses on the amendment of CTAs and actively promotes author addenda. One of the stated goals of the workshop is to change authors' behaviour with regard to rights management.

- there are two main copyright approaches: one concentrates on compliance the other focuses on rights retention and changing the practice of transferring copyright;
- gaps in the literature have become apparent: research conducted about SC or RS activities has mostly focused on the United States and the United Kingdom: a wider geographic scope focusing on copyright management and education provision is needed;
- some studies have surveyed copyright management for the purpose of self-archiving, the provision of copyright education relevant to SC and OA support activities, but little attention has been paid to the impact of these activities on repositories, particularly with regard to full text and participation rates.

Notably, this literature review found that there is a gap between perception and reality: publishers' policies on self-archiving are more permissive than authors perceive them to be. Nevertheless, publishers' conditions deter authors from depositing published material in open repositories and incur a heavy workload on repository staff.

The challenge seems to be to communicate publishers' requirements for self-archiving to authors directly, to educate them generally about copyright; enable version management and embargo issues to be complied with, or negotiate licences to publish. This will ensure that publishers' policies no longer stand in the way of archiving in repositories and reduce the requirement for support staff resources.

Following Horava (2010)'s suggestions for further research on copyright information delivery[79], this research addresses these issues by asking:

- Are IRs undertaking copyright education and support activities and, if so, how do they deliver copyright information?
- What is the impact of these activities?

[79] "First, it would be worthwhile to investigate the content and delivery of information literacy programs in Canadian academic libraries on copyright issues. […] What is being communicated and how is it being done? How is this done in the context of raising awareness of scholarly communication issues, open access models, and the promotion of author retention of rights? [...] Finally, it would be valuable to compare copyright communication in Canadian academic libraries with that of US and European counterparts." (Horava, 2010, pp. 29-30).

- Are these activities and information more compliance or rights retention advocacy orientated?

The following chapter will describe in detail the design used in this research.

Chapter 3: Methods

This chapter discusses the research approach adopted for the study. It also describes the methods used in collecting and analysing data for the literature review and primary data collection.

3.1 Justification of the research methods

3.1.1 General approach

The literature review was the first exploratory step in the research process and followed an inductive approach, rather than being hypothesis-led. This enabled the researcher to formulate specific research questions and refine research objectives. It also provided the basis for developing the primary data collection methodological approach[80].

In light of the research objectives, it was important to design a methodological approach providing specific observations and measures, allowing the researcher to:

1. identify existing behaviours and practices, how widespread they are and how regularly they are enacted, enabling a description of the phenomenon;
2. test the hypothesis that the communication of copyright awareness information amongst authors increases repositories' success;
3. estimate the degree of relationship between variables;
4. describe and measure copyright management approaches, formulating suitable indicators for this.

The study design combined both qualitative and quantitative data collection approaches.

[80] Methodological approaches can be:

- quantitative, i.e. emphasizes quantification in the collection and analysis of data; it is a deductive approach that generates hypothesis and measures variables;
- qualitative, i.e. focuses on words; it aims to discover underlying meanings and patterns of relationships and to classify types of phenomena and entities, in an inductive manner;
- a combination of both: mixing qualitative and quantitative methods can achieve a more complete answer to a set of research questions as the gaps left by one method can be filled by the other (Bryman, 2008).

The quantitative data provided information about the occurrence of copyright awareness building activities, and whether these impacted on repositories' KPIs. The qualitative data assisted with categorizing approaches taken to copyright information provision. Combined, they provide a better understanding of the phenomenon.

3.1.2 Study design

A study design is used to structure the research. It is a framework to generate evidence that fulfils criteria of reliability and validity used to evaluate the research findings and questions (Bryman, 2008).

Of the various study design options available[81], a cross-sectional design was selected for this research. This would provide a "snapshot" of reality at a single point in time by collecting data from more than one case. It entails the collection of qualitative and/or quantitative data in connection with a range of variables which are then examined for content analysis and/or statistical testing to detect patterns of association (ibid.).

Research methods available for cross-sectional designs are: surveys (interviews and/or questionnaires), observation, content analysis and secondary analysis (ibid.). Their suitability to the study objectives is evaluated in the next section.

3.1.3 Research strategy

3.1.3.1 Survey methods

Survey methods include structured or semi-structured interviews and self-completion questionnaires.

Interviews are better suited to the gathering of qualitative data, e.g., opinions or impressions. As one of the research aims is to describe a phenomenon, it was felt that this could be efficiently addressed by a self-completion questionnaire. Such a data collection method would gather a mix of quantitative and qualitative data via open-ended and closed questions.

[81] Study designs can be experimental (using random sampling and involving a control group), longitudinal (repeat studies are done over time), consist of a case study (in-depth study of one unit) or cross-sectional.

Postal questionnaires were impractical for reasons of both time and cost. Email questionnaires were considered, but rejected in favour of a web-based questionnaire, with the best potential for a large number of geographically dispersed responses. The advantages and limitations of web-based self-completion questionnaires are shown in Table 7.

Table 7: Advantages and limitations of web-based self completion questionnaires

	Advantages	**Limitations**
Access to survey population	• Ease of access to the survey population – see section 3.1.4 for sample selection.	• Lower response rates, introducing a risk of bias in the responding population.
Convenience	• For participants: recipients of survey link emails can respond at their leisure, having had time to consider the questions and also return to complete an unfinished survey. • For researchers: fast receipt of responses and immediate download of results into a database for data analysis.	• The limited number of questions possible, to avoid respondent fatigue.
Anonymity	• Anonymous administration, better at addressing sensitive questions.	• Risk of multiple replies if IP addresses are not tracked, to guarantee anonymity. • Greater risk of missing data when participants don't all answer questions. • Inability to prompt participants by clarifying questions or seeking answer elaboration, particularly with open questions. • Inability to collect additional data.

Some of these limitations were addressed by the questionnaire design and data collection method described in section 3.2.2.

In addition, Bryman warns against the limitations of survey methods in general (ibid.):

- reactive effects: the presence of the researcher or the survey instrument itself may influence answers;
- a problem of meaning, with respondents varying in their interpretations of key terms in questions;
- social desirability effect - a tendency to reply in ways felt to match the perceived desirability of certain kinds of answer;
- the gap between stated/reported and actual behaviour (as was observed in the studies in the literature review).

The above limitations convinced the researcher of the need for an additional data collection method. Webb argues in favour of triangulation in social methods, whereby conventional and unobtrusive methods are combined, so that findings can be crossed-checked and the limitations of each method are compensated by use of the other (1966).

3.1.3.2 Unobtrusive methods

Unobtrusive methods remove the researcher from interactions or events being studied, eliminating the risk of reactive effects - the biases resulting from the intrusion of researcher or measurement instruments such as a questionnaire.

3.1.3.2.1 Simple observation

Simple observation is a form in which the observer does not participate or influence the situation being observed[82]. The researcher initially considered studying a sample of repositories to analyse their deposits and quantify the full text rate, using the methodology designed by Xia & Sun (2007a) for their assessment of self-archiving practice. However, this was rejected as too time-consuming. In addition, such direct observation would not cover the other variable to be measured, the participation rate, and to gather this data the researcher would have to rely on repository managers' reporting of the number of participants in a repository. The questionnaire seemed an efficient, if not entirely reliable, way of gathering both sets of data.

[82] In the case of structured or systematic observation it entails direct observation and recording of behaviour under previously devised categories, or it can be unstructured observation without the use of such a schedule.

3.1.3.2.2 Content analysis

Content analysis is 'an approach to the analysis of documents and texts that seeks to quantify content in terms of predetermined categories and in a systematic and replicable manner' (Bryman, 2008, p. 274) in order to identify themes or major ideas. It is a highly flexible method that can be applied to a wide variety of unstructured information. Relevant ideas or themes can be chosen in advance by the researcher and identified in the text, providing quantified results.

As the public window of an institution, and 'assuming that a library website is a representation of the activities of a library' (Shachaf & Rubenstein, 2007, p. 95)[83], websites reflect institutional policies, and can be considered a valid object of study.

The main advantage of content analysis is that it is a transparent research method where a categorization scheme and sampling procedure can be devised, with feasible replication (Bryman, 2008). The disadvantages are:

- the selected documents may not be representative of all possible relevant documents (Scott, 1990)
- value judgements may affect the design of coding manuals and influence assigned meanings of texts (Bryman, 2008)

The content analysis of directly observed web pages would enable the researcher to compare the provision of copyright information as reported by repository managers with that publically promoted on the institutions' website.

3.1.3.2.3 Secondary analysis

The analysis of data that has been collected by others - researchers or institutions - saves cost and time, and provides high quality data. However, for this research, no official statistics or available data sets could be identified that would answer the research questions.

[83] Shachaf & Rubenstein analysed copyright information on library web sites as a reflection of library attitudes and activities towards copyright and to identify how librarians approach copyright and intellectual property concerns. They identified three purposes for providing the copyright information - to inform, educate, and warn users about copyright restrictions - and analysed how they reflected libraries' attitudes towards their copyright responsibility, i.e. proactive, accommodating, defensive or obtrusive (2007).

3.1.4 Sample selection

In addition to the geographical scope of the study, other selection criteria for survey participants were:

- Whether the respondent was likely to have the necessary information to answer the questions; likely access to repository statistics was particularly taken into account.
- Whether the repository contained published research, so that questions about copyright management were relevant.

Repository managers were deemed the most suitable survey population. Their jobs[84] are all-encompassing and they can be expected to have knowledge of their institutional context and of issues surrounding copyright and scholarly communication. They are also a suitable audience for the data collection method as they typically work extensively "online".

The target population, institutional repository managers from North American and European countries, amounted to 974[85].

A very effective method of reaching this population was employed by Hanlon & Ramirez (2010), which consisted in distributing the link to the online questionnaire via the OpenDOAR[86] email distribution list, which goes to the administrators of the repositories listed on their site.

The chosen survey distribution method, selected to maximise the number of respondents, did not allow for probability sampling, which would have involved randomly selecting repository managers to send the questionnaire to. This was considered, but rejected as too time-consuming.

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[84] "Repository Manager- who manages the "human" side of the repository including content policies, advocacy, user training and a liaison with a wide range of institutional departments and external contacts.' 'Familiarity with relevant IPR issues needed when accepting material for the repository and to develop guidelines to ensure consistent good practice; must be able to provide advice on relevant IPR issues" (Robinson, 2009, pp. 3 and 5).

[85] This figure is based on the number of repositories listed in OpenDOAR on 26th February 2011: of 974 institutional repositories, 674 were European and 300 North American.

[86] OpenDOAR, the Directory of Open Access Repositories, maintains a comprehensive and authoritative list of institutional and subject-based repositories. Repositories can be searched by location, type, the material they hold or the software they use.

The sampling of web pages for content analysis was convenience-based and stemmed from the survey, in which participants were asked to volunteer details of any copyright information web page related to SC at their institution.

3.2 Research methods

3.2.1 Review of Literature

The literature search was a highly iterative process. Repeated search refinements were necessary to either filter out less relevant materials or find relevant information within broader contexts. Retrieved materials generated further search activity. Database records of useful materials also provided additional descriptors to investigate.

3.2.1.1 Search terms

To locate information relating to the topic of copyright applied to scholarly communication, searches were constructed combining variations of the search terms listed in Table 8.

Table 8: Search terms used for database search (facilities for stemming and wildcards were used to include variations in terms whilst reducing the number of terms required to retrieve references)

Keyword	Narrower term	Broader term
Copyright	permissions, copyright clearance	Intellectual property, IP, IPR NOT Patents, trademarks, licences, fair use, DRM
Academic library* OR **University library***		Universit*
Open access OR **OA**		
Self-archiving		scholarly publication, scholarly communication, author rights
Institutional repositories OR **IRs**		eprint repositories, e-repositories, open archives NOT digitisation

Searches for literature in generic as well as specialist resources were conducted, therefore the search terms used varied depending on the context[87]. Databases were searched individually using native interfaces, taking advantage of any additional functionality such as advanced search or subject thesaurus support to identify preferred terms, so that alternative terms could be omitted. Records of searches and databases searched were maintained to prevent duplication of effort.

[87] For generic resources all terms were used; for library and information studies and IP databases the terms covering librarianship or copyright were omitted.

3.2.1.2 Sources

Data were searched through the channels listed in Table 9.

Table 9: Sources used for the review of literature

Source type	Source names
Academic search engines	Google Scholar
	SCOPUS
OPACs	WorldCat
E-Theses portals	Ethos
	DEEP (Dart Europe ETheses Portal)
	ProQuest Dissertations & Theses Database
	Networked Digital Library of Theses and Dissertations
	Index to Theses
Open Access portals	OAIster
	E-LIS (E-Prints in Library and Information Science)
	BASE (Bielefeld Academic Search Engine)
	DLIST (Digital Library of Information Science and Technology)
General literature databases	ISI Web of Science and Academic Search Premier
Literature databases in the field of library and information science	LISA
	LISTA
	Library Literature and Information Science Full Text
Databases in the field of copyright	Informit SNIPER online
Citation searching	Both cited references and citing articles retrieved for key articles found using ISI Web of Science "Cited reference search"
Scholarly electronic-publishing bibliographies	Annual list by Charles W. Bailey (Bailey, 2011a and 2011b)
	MIRACLE bibliography (University of Michigan, School of Information, 2008)
Newsletters	DigitalKoans for the most current literature on digital scholarship, grey literature in particular
Mailing lists on listserv	JISC-REPOSITORIES[88]
	LIS-COPYSEEK[89]

[88] Discussion list for repository technologies and policies.

[89] A closed discussion list for copyright permission seekers (paper or electronic) to share copyright owner contact information, experience of current permission policies and

Sources that were particularly useful included articles published in refereed books and journals; unpublished reports and conference papers and informal commentaries on listservs and blogs.

3.2.2 Survey of repository managers

3.2.2.1 Questionnaire design

The literature review, particularly the surveys designed by Horava (2010), Jones (2008), Newman et al. (2007) and Hanlon & Ramirez (2011) helped with the formulation of twenty four questions, worded in order to:

- establish which variables may have an impact on full text and participation rates;
- provide indicators of copyright approach;
- collect data both qualitative (descriptions) and quantitative (number of repository records and participants);
- gather information to facilitate the content analysis of copyright web pages.

The questionnaire (Appendix 1) had five sections: the first two sections gathered data on the participants' institution and repository; the next two sought information on institutional policies relating to copyright, processes for intellectual property management of repository material, and communication methods of copyright information relating to scholarly communication and self-archiving.

The survey format and length were further considered to improve usability, reduce survey completion time and increase response rate. Closed questions were mainly used, quick and easy to answer. The option to expand answers on closed questions was provided where appropriate. A built-in skip logic ensured respondents only had to answer questions relevant to them, minimising questionnaire fatigue. To address the risk of missing data, all questions were made compulsory except those seeking opinions or identification data - URLs,

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agreements, and information about new developments regarding copyright which may affect permission-seeking.

respondents' role and contact details. Optional permission was sought to contact respondents should additional data be needed.

Question wording was edited to eliminate points of confusion highlighted by four pre-testers[90] during a pilot. The number of questions was also reduced[91] and some additional answer options were added.

3.2.2.2 Data collection

In March 2011, invitations to take part in the survey were emailed via the OpenDOAR email service to 1270[92] repository managers that met the OpenDOAR parameter: "countries = all North America[93] and all Europe". There is no possibility to limit to institutional repositories, as the email distribution system only offers geographical, linguistic and system filters. As a result, the survey link was circulated to a population larger than the target population.

To mitigate the risk of responses from participants outside of the target population, the cover letter and information notice (Appendices 2 and 3) intended to market the survey to the target audience, had to make clear who should participate in it. In addition to relying on self-selection, a couple of questions, on the type of repository material and the institution's size, were designed to ascertain whether participants met the research criteria for repository type, enabling irrelevant response sets to be eliminated at the data analysis stage.

In order to maximize response rates, the survey cover letter and information notice stated the purpose of the survey and gave reasons for participation (e.g., the survey results would be circulated to the distribution list after its completion). They also advised potential participants in advance of the fact that repository statistics would be sought in the survey and offered definitions of the key terms to address the problem of meaning and clarify any assumptions made.

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[90] The pre-testers were: the research supervisor, two members of the IR team at the researcher's institution and a former LIS student.

[91] It was felt that some original questions where additional numerical data was sought required too much background checking and would put off participants.

[92] This figure is based on the number of repositories listed in OpenDOAR on 26th February 2011: 444 for North America, 826 for Europe.

[93] OpenDOAR includes Mexico in North America.

A notice explaining how to complete the survey was displayed before the start of the survey (Appendix 1).

The survey was conducted between March 3rd and March 26th 2011. A reminder message was sent five days before the closing date to solicit more responses. The online survey tool was created and implemented using Survey Monkey, which also hosted the survey, and responses were later exported.

3.2.2.3 Data analysis

The raw survey data was extracted into Excel spreadsheets. The responses were subsequently coded and imported into SPSS (Statistical Package for the Social Sciences), a computer program used for statistical analysis, to facilitate graphing and analysis. Multiple choice questions where respondents could select several options had to be coded so that each option could be treated as a separate dichotomous variable[94].

This re-coding enabled the researcher to examine the data variously in order to search for trends in copyright information provision, e.g., whether there were significant differences between North American and European institutions. Questions that elicited numerical values (e.g., number of records) were coded as ratio variables and, where relevant, re-coded into interval variables (e.g., full text rate). Guidance for quantitative data analysis methods was taken from Field (2009) and Bryman & Cramer (2001).

Descriptive statistics were produced, and some variables were further re-coded. In particular, scoring was introduced in order to measure indicators of copyright approach such as the type of copyright training and support activities provided at respondents' institutions, and copyright information communication methods[95]. Scores (Appendix 5) were assigned depending on pro-activity level and how authors' rights orientated institutions were in their copyright approach, using a

[94] For example, question 17 was coded into sixty-four distinct variables to facilitate data analysis (Appendix 4: SPSS codebook). Related dichotomous variables were then grouped using the "Multiple Response sets" functionality.

[95] Data from questions related to copyright awareness-building activities and training (question 16) and communication methods (question 19).

typology of copyright information and awareness building activities and policies (Appendix 6)[96].

The creation of these variables formed the basis for inferential statistics, enabling the researcher to test the research hypothesis that copyright information and/or support provision has a relationship with two repository KPIs, the full text and participation rates.

3.2.3 Copyright web pages content analysis

3.2.3.1 Data collection

Sixty-six respondents provided the URL of their copyright web page, sixty-two of which could be retained for analysis. Web pages in languages other than English and French were translated using Google's web pages online translation functionality.

3.2.3.2 Data analysis

The content analysis of the web pages adapted Horava's copyright web pages purposes categories[97] for self-archiving and scholarly communication. It focused on:

- Context: which departments are involved in the provision of copyright information?
- Content: what is the purpose of the information about copyright, to promote compliance or advocate authors' rights?

Guidance for qualitative data analysis methods was taken from Richard & Morse (2007).

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[96] This approach was inspired by and developed from Shachaf & Rubenstein (2007) who analysed copyright information on library web sites. She identified three purposes for providing the copyright information - to inform, educate, and warn users about copyright restrictions- and analysed how they reflected libraries' attitudes towards their copyright social responsibility, i.e. proactive, accommodating, defensive or obstructive.

[97] Horava listed the following categories in his questionnaire on copyright communication: conditions of use for digitized materials; integration of content into course management systems; information about the Access Copyright licence; information about copyright legislation, including the ''fair dealing'' provision; Information about specific library services such as Reserve (including electronic reserve), Interlibrary Loan, Document Delivery, and Media Resources; information or links for national and international agreements and organizations; procedures on how to submit requests for copying; advocacy for copyright reform; how to obtain copying permission; explaining the impact of copyright on research and publishing; other. (2010).

Each category was analysed quantitatively to provide descriptive statistics. Content categories were then given a numeric value which, when added up, achieved a score based on the typology of information, activities and policies (Appendix 6). This single number provided another indicator of the institution's approach to copyright beside the ones measured by the survey questions covering the provision of information and training on copyright. Mean scores were then calculated to enable comparison of the web pages content analysis results with the survey results on the basis of their copyright information approaches.

3.3 Ethical issues

Given the sensitive nature of information related to copyright management, appropriate consideration was given to ethical issues. The researcher committed to an aggregate analysis that would not allow for identification of responses and participants were assured of the anonymity of their responses. IP addresses were not collected.

Participants had the option to exit the survey at any stage. Only completed surveys were used for data analysis.

The online survey tool was selected according to data security criteria: SurveyMonkey offers an encrypted site and secure storage of the data. All data is stored in a password protected electronic format.

The email to repository managers and the opening page of the web survey provided information about the terms of anonymity and confidentiality, and outlined how the results would be used; it also linked to a more detailed information notice (Appendix 2) so that respondents could give their informed consent to taking part in the survey. The email also gave the researcher's contact details in case of any concerns.

Consideration was also given to the use of an unobtrusive research method, which entails, by definition, collecting information without the respondent's knowledge. Information contained in a web page is public and so does not involve any invasion of privacy, nevertheless the researcher decided to seek

informed consent by making the copyright URL question optional so that participants could choose to provide this or not.

3.4 Methods summary

The activities identified for collecting data indicated a cross sectional design, with the intention of collecting both qualitative and quantitative data.

To carry out the primary data collection two methods were selected:

- a conventional one: web-based self-completion questionnaire
- an unobtrusive one: content analysis of web pages.

The mixed methods approach enables different sources of information (reported and observed) to be tested against each other, thus achieving triangulation (Webb, 1966) and improving validity as well as enhancing understanding. This is all the more necessary given that the perceived social desirability of providing copyright information promoting authors' rights, or showing high KPIs may lead some respondents to pad their answers.

This study is replicable as all procedures (sample selection, data collection and analysis) are documented, and is therefore externally reliable.

Internal validity is weak in survey designs (as they can't establish cause and effect), and due to the use of non-random sampling, external validity is also questionable. However, the next chapter will provide a breakdown of participants, testing whether the sample is representative of the population, and a statistical test of the relationship between the variables will be discussed.

Chapter 4: Data analysis results

This chapter describes the data collected using the structured questionnaire and the content analysis of copyright web pages where participants supplied an URL. Results are summarised and significant points identified for discussion in the next chapter.

4.1 Results from the questionnaires

240 (18.9% of a potential 1270[98]) participants started the survey. 194 (15.3% of the total survey population) completed it, giving an 80.8% completion rate[99]. Only completed surveys data were used for the analysis. Seven response sets had to be excluded[100], leaving 187 valid response sets.

[98] On 26th February 2011, 1270 repositories were listed in OpenDOAR: 826 from Europe and 444 from North America; 974 institutional repositories were listed: 674 for Europe and 300 for North America.

[99] Most abandons came from non-Anglophone countries – twenty-nine abandons out of forty-six came from countries other than the U.S, the U.K, Canada or Ireland. The 19.2% abandon rate can also be explained by the limitations of the OpenDOAR distribution list: with no possibility to narrow the distribution to institutional repositories managers only, some recipients may have started the survey before realising it was not relevant for them.

[100] Four did not hold published research outputs, therefore IP activities questions were not relevant; three were not institutional repositories (two were subject repositories, one was a national repository that aggregated the content of local institutional repositories) so questions about institutional policies were not applicable.

4.1.1 Survey data

4.1.1.1 Geographic origin and size of the respondent institutions

Q 01: What country is your institution located in?

Table 10: Participants by region - North America

	Frequency	**% within North America** (n=49)	**% of Total respondents** (n=187)
Canada	7	14.3%	3.7%
United States	41	83.7%	21.9%
Mexico*	1	2.0%	0.5%
Total	**49**	**100.0%**	**26.6%**

*OpenDOAR includes Mexico in its category "North America"

Table 11: Participants by region - Europe

	Frequency	% within Europe (n=138)	% of Total respondents (n=187)
Austria	2	1.4%	1.1%
Belgium	5	3.6%	2.7%
Bulgaria	1	0.7%	0.5%
Croatia	2	1.4%	1.1%
Cyprus	1	0.7%	0.5%
Czech Republic	1	0.7%	0.5%
Denmark	1	0.7%	0.5%
Estonia	2	1.4%	1.1%
Finland	3	2.2%	1.6%
France	4	2.9%	2.1%
Germany	9	6.5%	4.8%
Greece	2	1.4%	1.1%
Hungary	2	1.4%	1.1%
Ireland	4	2.9%	2.1%
Italy	9	6.5%	4.8%
Latvia	1	0.7%	0.5%
Netherland	3	2.2%	1.6%
Norway	9	6.5%	4.8%
Poland	5	3.6%	2.7%
Portugal	10	7.2%	5.3%
Spain	14	10.1%	7.4%
Sweden	5	3.6%	2.7%
Switzerland	3	2.2%	1.6%
Ukraine	3	2.2%	1.6%
United Kingdom	37	26.8%	19.7%
Total	**138**	**100.0%**	**73.4%**

Table 12 summarises the representativeness of the sample:

- 11% of the 444 North American repositories, constituting 16.3% of the 300 North American institutional repositories listed in OpenDOAR[98], responded;
- 16.7% of the 826 European repositories, or 20.5% of 674 European institutional repositories listed in OpenDOAR[98], responded;
- 14.2% of the 625 repositories listed in OpenDOAR for Anglophone countries[101], or 19.3% of 460 institutional repositories in these countries, responded.

Table 12: Representativeness of the sample in the survey population

Repository type	Region	Number of repositories	% of repositories (column total)	Number of respondents	% of region (row total)	% of respondents
Any	**North America**	444	35%	49	11%	26.2%
	Europe	826	65%	138	16.7%	73.8%
	Total of N.Am and Europe	1270	100%	187	14.7%	100%
	Total from Anglophone countries[101]	625	49.2%	89	14.2%	47.6%
Institutional	**North America**	300	30.8%	49	16.3%	26.2%
	Europe	674	69.2%	138	20.5%	73.8%
	Total of N. Am and Europe	974	100%	187	19.2%	100%
	Total from Anglophone countries[101]	460	47.2%	89	19.3%	47.6%

The percentage of respondents is representative of the distribution of institutional repositories:

[101] Anglophone countries are countries where English is one of the official languages. These are: United States, Canada, United Kingdom, Ireland.

- 26.6% of respondents are from North America (30.8% of the total number of IRs are based in North America),
- 73.8% are from Europe (69.2% of the total number of IRs are in Europe),
- 47.6% of respondents come from Anglophone countries (47.2% of IRs are located in the United States, Canada, United Kingdom and Ireland).

This non-probability sample of 187 respondents represents 19.2% of the target population (974 IR managers) and reflects its composition, even if it only stands for 14.7% of the survey population (1270 repository managers).

Q 02: What is the size of your institution? (Number of Full Time Equivalent students enrolled)

Table 13: Distribution of respondents' institutions by size

	Response Percent	**Response Count/Frequency**
Small (0 - 9,999)	32.1%	60
Medium (10,000 - 25,000)	34.2%	64
Large (over 25,000)	26.7%	50
Not applicable: my organisation is not an educational institution	7%	13
Answered question		**187**
Skipped question		**0**

There is an even distribution of respondents among the three institutional size categories.

4.1.1.2 Repositories policies, deposit process, object types and numbers

Q 03: Does your institution encourage or enforce compliance with funders' mandates for research outputs funded by grants? (e.g., NIH, Wellcome Trust, FP7 Open Access pilot)

Table 14: Compliance with funders' mandates

Answer Options	Response Percent	Response Count
Yes	49.7%	93
No	19.8%	37
Not at present, but it is under consideration	20.9%	39
Don't know	9.6%	18
Answered question		**187**
Skipped question		**0**

49.7% of the responding institutions encourage or enforce compliance with funders' Open Access mandates.

Q 04: Is there a self-archiving mandate or policy for research outputs not funded by grants?

Table 15: Self-archiving mandates or policies

Answer Options	Response Percent	Response Count
Yes, at an institutional level	36.4%	66
Yes, at a departmental or faculty level	5.3%	8
Yes, at both institutional and departmental or faculty level	-	2
No	34.2%	64
Not at present, but it is under consideration	25.1%	43
Don't know	2.1%	4
Answered question		**187**
Skipped question		**0**

41.5% (n=76) of the responding institutions have an Open Access mandate. Table 16 shows that within regions, Europeans repositories have more mandates (47.1%) than North American ones (25.5%).

Table 16: Contingency table of OA mandates by regions

			Region of respondent		Total
			North America	Europe	
OA mandate	**Yes**	Count	12	64	76
		% within OA mandate	15.8%	84.2%	100.0%
		% within Region of respondent	25.5%	47.1%	41.5%
		% of Total	6.6%	35.0%	41.5%
	No	Count	35	72	107
		% within OA mandate	32.7%	67.3%	100.0%
		% within Region of respondent	74.5%	52.9%	58.5%
		% of Total	19.1%	39.3%	58.5%
Total		Count	47	136	183
		% within OA mandate	25.7%	74.3%	100.0%
		% within Region of respondent	100.0%	100.0%	100.0%
		% of Total	25.7%	74.3%	100.0%

Q 05: Does your repository contain any of the following?[102]

Table 17: Distribution of repository content

Answer Options	Response Percent	Response Count
Published research outputs	100%	187
Unpublished research outputs	88.2%	165
Theses, dissertations	86.6%	162
Articles from non-refereed sources	59.9%	112
Internal reports, presentations	57.8%	108
Archival material, special collections	43.3%	81
Course material, learning objects	30.5%	57
Primary data or datasets	23.0%	43
Other	21.4%	40
Answered question		**187**
Skipped question		**0**

[102] This question was used to ascertain that copyright checking activities questions were relevant to them.

Q 06: Which statement best describes the work processes of depositing materials in your repository?

Table 18: Deposit processes of repository materials

	Response Percent	Response Count*
Self-depositing by academics/researchers, quality control by specialised staff members	64.2%	120
Delivery of materials by academics/researchers, depositing by specialised staff members	63.6%	119
Collection of materials and depositing by specialised staff members independent of the academics/researchers	44.9%	84
Harvested from other repositories, e.g., PubMed	13.4%	25
Other	11.2%	21
Answered question		**187**
Skipped question		**0**

*Some respondents selected several statements

While the majority of institutions involve authors (or individuals depositing on their behalf), a significant 44.9% of respondents take control of the whole deposit process[103]. Automatic harvest of bibliographic records from other repositories is low (13.4%).

[103] At the other end of the spectrum, under free comments, one institution mentioned that the process was managed from start to finish by authors, without any mediation by specialised staff members (IR staff, cataloguers etc).

Q 07: What is the current number of records held in your repository?

Twenty-seven respondents could not provide a breakdown of their records distribution, and six did not answer this question at all[104].

Table 19: Number of records held and full text rate (descriptive statistics)

	Valid N	Mean	Median	Mode	Maximum	Minimum	Range
Total number of records	181	15548	5249	300	260000	30	259970
Metadata-only records	154	7981	6	0	196602	0	196602
Records with full text	154	7399	2894	3000	62800	30	62770
Full text rate	154	73.6	n/a	n/a	100	2	98

From the data provided the full text rate was obtained using the following formula:

$$\frac{\text{Full text records} * 100}{\text{Total number of records}}$$

The range for the total number of records is very wide, with the smallest repository having only thirty records and the largest providing a figure of 260,000 items (Table 19).

[104] On examination of the respondents' roles when specified, missing data occurred when copyright experts were forwarded the survey and responded instead of the IR manager, and probably did not have access to the statistics.

Table 20: Distribution of full text rate categories

Full text rate	**Count**	**Total N %** (n=187)	**Response N %** (n=154)
Missing	33	18.1%	-
100%	81	43.1%	52.6%
90-99%	10	5.3%	6.5%
80-89%	6	3.2%	3.9%
70-79%	6	3.2%	3.9%
60-69%	4	2.1%	2.6%
50-59%	6	3.2%	3.9%
40-49%	4	2.1%	2.6%
30-39%	3	1.6%	1.9%
20-29%	10	5.3%	6.5%
10-19%	12	6.4%	7.8%
01-09%	12	6.4%	7.8%

Table 20 shows that 52.6% of respondents have achieved 100% full text[105]. When the next two categories are added, 63% achieve a full text rate of over 80%. 26.6% of respondents have less than 50% records with full text. The mean full text rate is 73.6% (Table 19).

[105] This might be due to their deposit policy (e.g. they only accept records with full text).

Table 21: Distribution of full text rate by regions (contingency table)

Full text rate		Region of respondent		Total
		North America	Europe	
80-100%	**Count**	**29**	**68**	**97**
	% within Full text rate	29.9%	70.1%	100.0%
	% within Region of respondent	85.3%	56.7%	63.0%
	% of Total	18.8%	44.2%	63.0%
50-79%	**Count**	**2**	**14**	**16**
	% within Full text rate	12.5%	87.5%	100.0%
	% within Region of respondent	5.9%	11.7%	10.4%
	% of Total	1.3%	9.1%	10.4%
20-49%	**Count**	**1**	**16**	**17**
	% within Full text rate	5.9%	94.1%	100.0%
	% within Region of respondent	2.9%	13.3%	11.0%
	% of Total	0.6%	10.4%	11.0%
1-19%	**Count**	**2**	**22**	**24**
	% within Full text rate	8.3%	91.7%	100.0%
	% within Region of respondent	5.9%	18.3%	15.6%
	% of Total	1.3%	14.3%	15.6%
Total	**Count**	**34**	**120**	**154**
	% within Full text rate	22.1%	77.9%	

Table 21 shows that North America has a higher full text rate than Europe: 85.3% have a 80-100% full text rate compared to 56.7% in Europe.

Q 08: How many academics or researchers of your institution have materials in your repository?
NOT the total number of authors indexed in your repository

Only fifty-six (29% of respondents) and thirty-nine (21%) could say how many of their own academics were participating in their repository, possibly because they index all the authors and don't discriminate between sources when indexing. Of those who answered, 30% (n=17) could not indicate what percentage of the potential researcher base at their institution that number represented.

Table 22: Number of participating academics and researchers and participation rate (descriptive statistics)

	Valid N	Mean	Median	Mode	Maximum	Minimum	Range
Number of participating academics/researchers	56	1004	231	200	13000	3	12997
Participation rate (%) of academics/researchers	39	50.64	n/a	n/a	100	1	99

The mean number of participating academics/researchers is 1004 and the mean participation rate is 50.6% (Table 22)[106]. Of those who responded, 41.1% stated that less than 50% of their authors participated in the repository (Table 23).

[106] However some respondents seem to have ignored the instruction not to include the total number of authors indexed in the repository, as is the case for the institution that provided 13,000 as their number of participating academics, making the result impossible to interpret.

Table 23: Distribution of participation rate (academics/researchers) categories

Participation rate of academics or researchers	Count	Table N %	Response N %
Missing	148	79.3%	-
100%	2	1.1%	5.1%
90-99%	6	3.2%	15.4%
80-89%	4	2.1%	10.3%
70-79%	5	2.7%	12.8%
60-69%	4	2.1%	10.3%
50-59%	2	1.1%	5.1%
40-49%	1	0.5%	2.6%
30-39%	0	0.0%	0.0%
20-29%	3	1.6%	7.7%
10-19%	4	2.1%	10.3%
01-09%	8	4.3%	20.5%

Q 09: How many departments/faculties, or other research units, are participating in your repository?

Table 24: Number of participating departments and faculties and participation rate (descriptive statistics)

	Valid N	Mean	Median	Mode	Maximum	Minimum	Range
Total number participating departments/faculties and/or other research units	117	34	17	5	500	1	499
Participation rate (%) of departments/faculties and/or other research units	92	77.96	n/a	n/a	100	1	99

Table 25: Distribution of participation rate (departments/faculties) categories

Participation rate of departments/faculties and/or other academic units	Count	Table N %	Response N%
Missing	95	51.1%	-
100%	44	23.4%	47.8%
90-99%	14	7.4%	15.2%
80-89%	8	4.3%	8.7%
70-79%	1	0.5%	1.1%
60-69%	3	1.6%	3.3%
50-59%	7	3.7%	7.6%
40-49%	1	0.5%	1.1%
30-39%	0	0.0%	0.0%
20-29%	3	1.6%	3.3%
10-19%	3	1.6%	3.3%
01-09%	8	4.3%	8.7%

The mean number of participating departments is thirty-four and the mean participation rate is 78% (Table 24)[107]. The recording of participating departments seems more common than the number of participating academics: 117 (63% of respondents) and ninety-two (49%) respondents were able to provide these figures.

[107] However, some respondents seem to have misinterpreted the question or tried to fit their situation around it – the institution quoting 500 as the number of participating departments aggregates the research of non-profit organisations – making again the results difficult to interpret.

Table 26: Distribution of participation rate by regions (contingency table)

Participation rate of departments/faculties		Region of respondent		Total
		North America	Europe	
80-100%	**Count**	**8**	**58**	**66**
	% within Participation rate of departments/faculties	12.1%	87.9%	100.0%
	% within Region of respondent	50.0%	76.3%	71.7%
	% of Total	8.7%	63.0%	71.7%
50-79%	**Count**	**3**	**8**	**11**
	% within Participation rate of departments/faculties	27.3%	72.7%	100.0%
	% within Region of respondent	18.8%	10.5%	12.0%
	% of Total	3.3%	8.7%	12.0%
20-49%	**Count**	**2**	**2**	**4**
	% within Participation rate of departments/faculties	50.0%	50.0%	100.0%
	% within Region of respondent	12.5%	2.6%	4.3%
	% of Total	2.2%	2.2%	4.3%
01-19%	**Count**	**3**	**8**	**11**
	% within Participation rate of departments/faculties	27.3%	72.7%	100.0%
	% within Region of respondent	18.8%	10.5%	12.0%
	% of Total	3.3%	8.7%	12.0%
Total	**Count**	**16**	**76**	**92**
	% within Participation rate of departments/faculties	17.4%	82.6%	100.0%

Table 26 shows that Europe has a higher participation rate for departments/faculties than North America: 76.3% have a 80-100% participation rate compared to 50% in North America.

Table 27: Contingency table of full text and participation rate by region

		N	Range	Minimum	Maximum	Mean
Full text rate	**North America**	34	95	5	100	90.62
	Europe	120	98	2	100	68.83
Participation rate of departments /faculties	**North America**	16	95	5	100	63.75
	Europe	76	99	1	100	80.95

Table 27 shows that North America repositories have a higher mean full text rate (90.6%) than European ones (68.8%), but a lower participation rate (63.8%) compared to Europe (81%).

4.1.1.3 Intellectual Property (IP) management of the repository material

Q 10: Do you, as an institution, actively manage IP for items in your repository (e.g., do you check publishers' requirements regarding deposit, contact publishers for permission to deposit materials in the repository, display information about the copyright conditions attached to an item, enforce deposit conditions)?

Table 28: IP management of repository items

	Response Percent	Response Count
Yes	80.2%	150
No	12.3%	23
Not at present, but it is under consideration	7.5%	14
Answered question		**187**
Skipped question		**0**

19.8% of the survey respondents (n=37) do not manage intellectual property for IR deposits. Table 29 shows no differences between North America and Europe (81.6% and 79.7% respectively manage IP).

Table 29: Contingency table of IP management by regions

IP management by Library staff		Region of respondent		Total
		North America	Europe	
Yes	**Count**	**40**	**110**	**150**
	% within Yes category	26.7%	73.3%	100.0%
	% within Region of respondent	81.6%	79.7%	80.2%
	% of Total	21.4%	58.8%	80.2%
No	**Count**	**9**	**28**	**37**
	% within No category	24.3%	75.7%	100.0%
	% within Region of respondent	18.4%	20.3%	19.8%
	% of Total	4.8%	15.0%	19.8%
Total	**Count**	**49**	**138**	**187**
	% within Total	26.2%	73.8%	100.0%

Q 11: Is IP management for repository materials centralised (i.e., performed by your library or information services, or by a central compliance unit) or decentralised (i.e., performed by individual academics/researchers, or by department/faculty administrators)?

Table 30: IP management models

Answer Options	Response Percent	Response Count
Centralised	66.7%	100
Decentralised	3.3%	5
A combination of both	30%	45
Answered question		**150**
Skipped question		**37**

Only 3.3% of the respondents left the management of copyright entirely with depositors. Table 31 shows that European repositories favour the centralised model slightly more (69.1%) than their American counterparts (60%).

Table 31: Contingency table of IP management models by regions

IP management model		Region of respondent		Total
		North America	Europe	
Centralised	**Count**	**24**	**76**	**100**
	% within Centralised	24.0%	76.0%	100.0%
	% within Region of respondent	60.0%	69.1%	66.7%
	% of Total	16.0%	50.7%	66.7%
Decentralised	**Count**	**1**	**4**	**5**
	% within Decentralised	20.0%	80.0%	100.0%
	% within Region of respondent	2.5%	3.6%	3.3%
	% of Total	0.7%	2.7%	3.3%
A combination of both	**Count**	**15**	**30**	**45**
	% within Combination	33.3%	66.7%	100.0%
	% within Region of respondent	37.5%	27.3%	30.0%
	% of Total	10.0%	20.0%	30.0%
Total	**Count**	**40**	**110**	**150**
	% within Total	26.7%	73.3%	100.0%

Q 12: How many FTE staff are responsible for the IP management of repository materials?

Table 32: Number of IP staff

Number of staff (FTE)	Response Percent	Response Count
Less than 1	34.7%	50
1 - 2	48.6%	70
3 - 5	12.5%	18
Over 5	4.2%	6
Did not answer		**6**
Answered question		**144**

Skipped question	**43**

65.3% of institutions allocate at least one full time post to IP management (Table 32).

Table 33: Contingency table: Number of IP staff by region

IP management staff		**Region of respondent**		**Total**
		North America	Europe	
Less than 1	**Count**	**15**	**35**	**50**
	% within <1	30.0%	70.0%	100.0%
	% within Region of respondent	38.5%	33.3%	34.7%
	% of Total	10.4%	24.3%	34.7%
1-2	**Count**	**20**	**50**	**70**
	% within 1-2	28.6%	71.4%	100.0%
	% within Region of respondent	51.3%	47.6%	48.6%
	% of Total	13.9%	34.7%	48.6%
3-5	**Count**	**2**	**16**	**18**
	% within 3-5	11.1%	88.9%	100.0%
	% within Region of respondent	5.1%	15.2%	12.5%
	% of Total	1.4%	11.1%	12.5%
Over 5	**Count**	**2**	**4**	**6**
	% within >5	33.3%	66.7%	100.0%
	% within Region of respondent	5.1%	3.8%	4.2%
	% of Total	1.4%	2.8%	4.2%
Total	**Count**	**39**	**105**	**144**
	% within Total	27.1%	72.9%	100.0%

Table 33 shows that European repositories have more staff resources than their American counterparts:

- Up to two staff: 89.8% of North American respondents compared to 80.9% in Europe.

- More than three staff: 10.2% in North America compared to 19% in Europe.

Q 13: Does your institution recognise the training and development needs required to manage IP for repository materials?

Table 34: IP management training

	Response Percent	Response Count
Yes, training and development programmes are provided/funded	22.0%	33
Yes, but currently no formal development programmes are provided/funded	52.0%	78
No	9.3%	14
Not at present, but it is under consideration	10.7%	16
Don't know	6.0%	9
Answered question		**150**
Skipped question		**37**

Overall, 74% of respondents can avail of IP management training. In the majority of cases (52%), while the need for training is recognised there is no formal arrangement and it is left to IR staff to locate appropriate training[108]. Only 20% did not receive any support or were not given the opportunity to train themselves.

[108] Twelve respondents added comments about the type of development programme received or funded: Repositories Support Project training courses (four mentions), JISC Digital Media, UKCoRR, SHERPA, local training organised by the copyright unit at the institution or training at a national level (Netherlands).

Q 14: Is there a department, service or individual in your library or information services with responsibility for IP management in general (e.g., copyright clearance for electronic reserve material or permissions seeking for digitisation projects)?

Table 35: Copyright department, service or individual

Answer Options	Response Percent	Response Count
Yes	61%	114
No	35.8%	67
Don't know	3.2%	6
Answered question		**187**
Skipped question		**0**

61% of respondents have a department, service or individual in the library that deals with copyright in general (other than for the repository)[109].

Q 15: Does your repository have any procedures for dealing with complaints from rights holders against the institution (e.g., a take down policy)?

Table 36: Procedures for dealing with copyright complaints

Answer Options	Response Percent	Response Count
Yes	55.1%	103
No	25.7%	48
Not at present, but it is under consideration	16.0%	30
Don't know	3.2%	6
Answered question		**187**
Skipped question		**0**

[109] Amongst the sixty-six who provided additional information in the form of free text comments for this question, fourteen stated that they were themselves (repository manager or Scholarly Communication manager) the copyright expert for the library.

The majority of institutions (55.1%) have procedures in place to deal with complaints from rights holders. Fifty-five respondents provided details about the procedure in the free text comments box: twenty-three amongst them stated that they had formal take down policies. Eight respondents commented that they had never received any request to take an item down.

A number of free text comments indicated that some of institutions are aware of the risk of copyright infringement and are taking steps to avert it:

> Do we take researchers serious (sic) and trust them to have taken care of all the copyright issues themselves? We here have to, since there is no manpower to control these issues explicitly - and we cannot step in for them when these issues occur. We solve it (hopefully) by letting them sign a statement that they did take care of that themselves before publishing. (Respondent #8)

> Deposit is under the strict responsibility of the author who has to make all IP verification (for example, verification of the publisher's policy relative to self-archiving,...) (Respondent #107)

To illustrate this, two respondents quoted the deposit licence authors must sign before submitting an item to the repository; they include the following clauses:

> The Work is not and shall be in no way a violation or infringement of any copyright, trademark, patent, or other rights whatsoever of any person; if the Work has been sponsored or supported by any organization, the depositor represents that s/he has fulfilled any obligations required by such contract or agreement. (Respondent #66)

> I have, in instances where the intellectual property of other authors or copyright holders is included in the Work, gained explicit permission to make this material publicly accessible. (Respondent #101)

These clauses ensure that, should there be a copyright infringement, the institution could not be held responsible[110].

Another risk management strategy consists in limiting the number of published materials deposited in the repository:

> We try to limit the number of things for which we must get permission to as few as possible, encouraging authors to simply link to an online, subscription resource, if available, instead. (Respondent #75)

[110] This tendency was confirmed by the examination of copyright pages (detailed in section 4.2): many institutions in their licences or deposit policies warn depositors that by signing the licence they "certify that the deposited work does not infringe rights of any third party and that the work has been created complying with copyright laws, not infringing copyright of other authors." "Adam Mickiewicz University Repository (AMUR) Repository Operational policy" retrieved from http://lib.amu.edu.pl/index.php?option=com_content&task=view&id=672&Itemid=94 on 22nd June 2012.

> We actually make a point of **avoiding** [Respondent #75's emphasis] soliciting published material, because it's such a hassle to request permissions (and there's only 1 person doing it, and 'repository duties' are only part of my whole job). It's too much of a problem, so we mostly go after the other, more informal types of materials ("grey literature"). (Respondent #75)

Q 16: Does your institution have a policy regarding any of the following?

Table 37: IP policies

Answer Options	Response Percent	Response Count
Works written during the course of employment	26.2%	49
Use of author/licence addenda (e.g., SPARC / Science Commons Addendum)	16.0%	30
Licence to publish (e.g., SURF Copyright Toolbox Authors Licence) or an Amendment to Publication Agreement form (e.g., MIT Amendment form)	16.0%	30
None of the above	38.5%	72
Don't know	17.1%	28
Other	8.6%	11
Answered question		**187**
Skipped question		**0**

Policies aimed at supporting author rights management by providing an institutional licence or endorsing the use of author addenda are far from wide-spread: 38.5% of the respondents had none of the policies listed.

Table 38: Contingency table of IP policies by regions

IP policies		Region of respondent		Total (n=187)
		North America	Europe	
Works written during the course of employment	**Count**	**18**	**31**	**49**
	% within Works	36.7%	63.3%	100.0%
	% within Region	37.5%	22.6%	26.2%
	% of Total	9.7%	16.8%	26.2%
Licence to publish	**Count**	**14**	**16**	**30**
	% within Licence	46.7%	53.3%	100.0%
	% within Region	29.2%	11.7%	16.0%
	% of Total	7.6%	8.6%	16.0%
Use of author/licence addenda	**Count**	**11**	**19**	**30**
	% within Author addenda	36.7%	63.3%	100.0%
	% within Region	22.9%	13.9%	16.0%
	% of Total	5.9%	10.3%	16.0%
None of the above	**Count**	**14**	**58**	**72**
	% within None	19.9%	80.1%	100%
	% within Region	29.2%	43.8%	38.5%
	% of Total	7.6%	32.4%	38.5%
Don't know	**Count**	**6**	**22**	**28**
	% within DK	21.4%	78.6%	100%
	% within Region	12.5%	16.1%	17.1%
	% of Total	3.2%	11.9%	17.1%
Other	**Count**	**4**	**7**	**11**
	% within Other	36.4%	63.6%	100%
	% within Region	8.3%	5.1%	8.6%
	% of Total	2.2%	3.8%	8.6%

Table 38 shows that licences to publish and author addenda are more frequently supported in North America (29.2% and 22.9% respectively) than in Europe (11.7% and 13.9%), and that European institutions surveyed are more likely

(43.8%) to have none of the IP policies listed than their North American counterparts (29.2%).

4.1.1.4 Copyright information communication

Q 17: Who in your institution performs the following functions?

Table 39: Educating academic staff and/or researchers about the repository service

Educating academic staff and/or researchers about the repository service	**Count**	**%** (n=187)
Done	181	96.8%
Not done	5	2.7%
Don't know	1	0.5%
This activity, when undertaken, was performed by:	**Count**	**%** (n=181)
Repository Staff	146	80.7%
Library Copyright Unit or Expert	25	13.8%
Scholarly Communication / Research Support Librarian	49	27.0%
Liaison Librarian(s)	66	36.5%
Copyright Unit or Officer / Institution's Legal Counsel	3	1.6%
Other	12	6.6%

Table 40: Providing advice or assistance in interpreting publishers' and funders' policies

Providing advice or assistance in interpreting publishers' and funders' policies	**Count**	**%** (n=187)
Done	178	95.1%
Not done	8	4.4%
Don't know	1	0.5%
This activity, when undertaken, was performed by:	**Count**	**%** (n=178)
Repository Staff	140	78.6%
Library Copyright Unit or Expert	44	24.7%
Communication / Research Support Librarian	41	23.0%
Liaison Librarian(s)	37	20.8%
Copyright Unit or Officer / Institution's Legal Counsel	24	13.5%
Other	10	5.6%

Table 41: Educating academic staff and/or researchers about the principles of Open Access and open scholarship approaches

Educating academic staff and/or researchers about the principles of Open Access and open scholarship approaches	**Count**	**%** (n=187)
Done	167	89.3%
Not done	16	8.6%
Don't know	4	2.1%
This activity, when undertaken, was performed by:	**Count**	**%** (n=167)
Repository Staff	126	75.4%
Library Copyright Unit or Expert	28	16.8%
Scholarly Communication / Research Support Librarian	56	33.5%
Liaison Librarian(s)	56	33.5%
Copyright Unit or Officer / Institution's Legal Counsel	3	1.6%
Other	10	6.1%

Table 42: Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications

Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	**Count**	**%** (n=187)
Done	163	87.1%
Not done	15	8.0%
Don't know	9	4.8%
This activity, when undertaken, was performed by:	**Count**	**%** (n=163)
Repository Staff	118	72.4%
Library Copyright Unit or Expert	29	17.8%
Scholarly Communication / Research Support Librarian	42	25.8%
Liaison Librarian(s)	40	24.5%
Copyright Unit or Officer / Institution's Legal Counsel	15	9.2%
Other	15	9.2%

Table 43: Educating Library or Information Services staff about scholarly communication and/or research dissemination

Educating Library or Information Services staff about scholarly communication and/or research dissemination	**Count**	**%** (n=187)
Done	156	83.4%
Not done	25	13.4%
Don't know	6	3.2%
This activity, when undertaken, was performed by:	**Count**	**%** (n=156)
Repository Staff	111	71.2%
Library Copyright Unit or Expert	30	19.2%
Scholarly Communication / Research Support Librarian	48	30.8%
Liaison Librarian(s)	24	15.4%
Copyright Unit or Officer / Institution's Legal Counsel	3	1.9%
Other	9	5.76%

Table 44: Providing advice or assistance in using alternative publishing models

Providing advice or assistance in using alternative publishing models	**Count**	**%** (n=187)
Done	151	80.7%
Not done	21	11.2%
Don't know	15	8.0%
This activity, when undertaken, was performed by:	**Count**	**%** (n=151)
Repository Staff	108	71.5%
Library Copyright Unit or Expert	28	18.5%
Scholarly Communication / Research Support Librarian	53	35.1%
Liaison Librarian(s)	39	25.8%
Copyright Unit or Officer / Institution's Legal Counsel	0	0.0%
Other	18	11.9%

Table 45: Educating academic staff and/or researchers about author rights management

Educating academic staff and/or researchers about author rights management	**Count**	**%** (n=187)
Done	135	72.2%
Not done	34	18.2%
Don't know	18	9.6%
This activity, when undertaken, was performed by:	**Count**	**%** (n=135)
Repository Staff	83	61.5%
Library Copyright Unit or Expert	33	24.4%
Scholarly Communication / Research Support Librarian	42	31.1%
Liaison Librarian(s)	28	20.7%
Copyright Unit or Officer / Institution's Legal Counsel	14	10.4%
Other	12	8.9%

Table 46: Providing advice or assistance in using author addenda or licences to publish

Providing advice or assistance in using author addenda or licences to publish	**Count**	**%** (n=187)
Done	125	66.8%
Not done	32	17.1%
Don't know	30	16.0%
This activity, when undertaken, was performed by:	**Count**	**%** (n=125)
Repository Staff	85	68.0%
Library Copyright Unit or Expert	29	23.2%
Scholarly Communication / Research Support Librarian	35	28.0%
Liaison Librarian(s)	27	21.6%
Copyright Unit or Officer / Institution's Legal Counsel	11	8.8%
Other	7	5.6%

All of the education and support activities listed are done by 66.8% to 96.8% of respondents, and some of these activities are undertaken by several members of staff, often by a Scholarly Communication/ Research Support (SC/RSL) Librarian and Liaison Librarian (LL) combination.

Table 47: Contingency table: Providing advice or assistance in interpreting publishers' and funders' policies by region

Category A: Providing advice or assistance in interpreting publishers' and funders' policies		**Region of respondent**		**Total**
		North America	Europe	
Done	Count	46	132	178
	% within Category A	25.7%	74.3%	100.0%
	% within Region	93.9%	96.4%	95.7%
	% of Total	24.6%	71.1%	95.7%
Not done	Count	3	5	8
	% within Category A	37.5%	62.5%	100.0%
	% within Region	6.1%	3.6%	4.3%
	% of Total	1.6%	2.7%	4.3%

Table 48: Contingency table: Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications by region

Category B: Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications		**Region of respondent**		**Total**
		North America	Europe	
Done	Count	41	122	163
	% within Category B	25.2%	74.8%	100.0%
	% within Region	83.7%	94.6%	91.6%
	% of Total	23.0%	68.5%	91.6%
Not done	Count	8	7	15
	% within Category B	53.3%	46.7%	100.0%
	% within Region	16.3%	5.4%	8.4%
	% of Total	4.5%	3.9%	8.4%

Table 49: Contingency table: Educating academic staff and/or researchers about the principles of open access and open scholarship approaches by region

Category C: Educating academic staff and/or researchers about the principles of open access and open scholarship approaches		**Region of respondent**		**Total**
		North America	Europe	
Done	Count	42	125	167
	% within Category C	25.1%	74.9%	100.0%
	% within Region	85.7%	93.3%	91.3%
	% of Total	23.0%	68.3%	91.3%
Not done	Count	7	9	16
	% within Category C	43.8%	56.3%	100.0%
	% within Region	14.3%	6.7%	8.7%
	% of Total	3.8%	4.9%	8.7%

Table 50: Contingency table: Educating academic staff and/or researchers about the repository service by region

Category D: Educating academic staff and/or researchers about the repository service		**Region of respondent**		**Total**
		North America	Europe	
Done	Count	48	133	181
	% within Category D	26.5%	73.5%	100.0%
	% within Region	98.0%	97.1%	97.3%
	% of Total	25.8%	71.5%	97.3%
Not done	Count	1	4	5
	% within Category D	20.0%	80.0%	100.0%
	% within Region	2.0%	2.9%	2.7%
	% of Total	.5%	2.2%	2.7%

Table 51: Contingency table: Providing advice or assistance in using alternative publishing models by region

Category E: Providing advice or assistance in using alternative publishing models		Region of respondent		Total
		North America	Europe	
Done	Count	39	112	151
	% within Category E	26.1%	73.9%	100.0%
	% within Region	81.6%	90.4%	87.9%
	% of Total	23.0%	64.9%	87.9%
Not done	Count	9	12	21
	% within Category E	42.9%	57.1%	100.0%
	% within Region	18.4%	9.6%	12.1%
	% of Total	5.2%	6.9%	12.1%

Table 52: Contingency table: Providing advice or assistance in using author addenda or licences to publish by region

Category F: Providing advice or assistance in using author addenda or licences to publish		Region of respondent		Total
		North America	Europe	
Done	Count	39	86	125
	% within Category F	31.2%	68.8%	100.0%
	% within Region	84.8%	77.5%	79.6%
	% of Total	24.8%	54.8%	79.6%
Not done	Count	7	25	32
	% within Category F	21.9%	78.1%	100.0%
	% within Region	15.2%	22.5%	20.4%
	% of Total	4.5%	15.9%	20.4%

Table 53: Contingency table: Educating academic staff and/or researchers about author rights management by region

Category G: Educating academic staff and/or researchers about author rights management		Region of respondent		Total
		North America	Europe	
Done	Count	39	96	135
	% within Category G	28.9%	71.1%	100.0%
	% within Region	83.0%	78.7%	79.9%
	% of Total	23.1%	56.8%	79.9%
Not done	Count	8	26	34
	% within Category G	23.5%	76.5%	100.0%
	% within Region	17.0%	21.3%	20.1%
	% of Total	4.7%	15.4%	20.1%

Table 54: Contingency table: Educating Library or Information Services staff about scholarly communication and/or research dissemination by region

Category H: Educating Library or Information Services staff about scholarly communication and/or research dissemination		Region of respondent		Total
		North America	Europe	
Done	Count	40	116	156
	% within Category H	25.6%	74.4%	100.0%
	% within Region	81.6%	87.9%	86.2%
	% of Total	22.1%	64.1%	86.2%
Not done	Count	9	16	25
	% within Category H	36.0%	64.0%	100.0%
	% within Region	18.4%	12.1%	13.8%
	% of Total	5.0%	8.8%	13.8%

The cross tabulation or contingency tables (Tables 47 to 54) show that European respondents perform these activities slightly more frequently than their US counterparts, with three exceptions[111].

Tables 39 to 46 show that Repository staff are the most frequent providers of copyright training and support activities, followed by SC/RSLs and LLs. Copyright experts in the library play a lesser role in relation to copyright related to scholarly communication, and the copyright unit of the institution remains at the margin (0% to 13.5% of involvement), though slightly more active regarding general author rights issues as against specificities of IR deposit and copyright requirements.

[111] These are:

- educating academic staff and/or researchers about the repository service: 0.9% difference in favour of North America
- educating academic staff and/or researchers about author rights management: 4.3% difference in favour of North America
- providing advice or assistance in using author addenda or licences to publish: 7.3% difference in favour of North America.

Table 55: Contingency tables for copyright function by Repository staff and region

Repository staff		Region of respondent		Total
		North America	Europe	
Providing advice or assistance in interpreting publishers' and funders' policies	Count	32	108	140
	% within Repository Staff	22.9%	77.1%	100.0%
	% within Region	65.3%	78.3%	74.9%
	% of Total	17.1%	57.8%	74.9%
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Count	26	92	118
	% within Repository Staff	22.0%	78.0%	100.0%
	% within Region	53.1%	66.7%	63.1%
	% of Total	13.9%	49.2%	63.1%
Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	Count	26	100	126
	% within Repository Staff	20.6%	79.4%	100.0%
	% within Region	53.1%	72.5%	67.4%
	% of Total	13.9%	53.5%	67.4%
Educating academic staff and/or researchers about YOUR repository service	Count	34	112	146
	% within Repository Staff	23.3%	76.7%	100.0%
	% within Region	69.4%	80.4%	77.5%
	% of Total	18.2%	59.4%	77.5%
Providing advice or assistance in using alternative publishing models	Count	24	84	108
	% within Repository Staff	22.2%	77.8%	100.0%
	% within Region	51.0%	60.9%	58.3%
	% of Total	13.4%	44.9%	58.3%
Providing advice or assistance in using author addenda or licences to publish	Count	21	64	85
	% within Repository Staff	24.7%	75.3%	100.0%
	% within Region	44.9%	46.4%	46.0%
	% of Total	11.8%	34.2%	46.0%
Educating academic staff and/or researchers about author rights management	Count	20	63	83
	% within Repository Staff	24.1%	75.9%	100.0%
	% within Region	40.8%	45.7%	44.4%
	% of Total	10.7%	33.7%	44.4%
Educating Library or Information Services staff about scholarly communication and/or research dissemination	Count	23	88	111
	% within Repository Staff	20.7%	79.3%	100.0%
	% within Region	49.0%	64.5%	60.4%
	% of Total	12.8%	47.6%	60.4%

Table 56: Contingency tables for copyright function by Library copyright expert/unit and region

Library copyright expert/unit		Region of respondent		Total
		North America	Europe	
Providing advice or assistance in interpreting publishers' and funders' policies	Count	19	25	44
	% within Library Copyright Unit or Expert	43.2%	56.8%	100.0%
	% within Region	38.8%	18.1%	23.5%
	% of Total	10.2%	13.4%	23.5%
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Count	11	18	29
	% within Library Copyright Unit or Expert	37.9%	62.1%	100.0%
	% within Region	22.4%	13.0%	15.5%
	% of Total	5.9%	9.6%	15.5%
Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	Count	11	17	28
	% within Library Copyright Unit or Expert	39.3%	60.7%	100.0%
	% within Region	22.4%	12.3%	15.0%
	% of Total	5.9%	9.1%	15.0%
Educating academic staff and/or researchers about YOUR repository service	Count	8	17	25
	% within Library Copyright Unit or Expert	32%	68%	100.0%
	% within Region	18.4%	12.3%	13.9%
	% of Total	4.8%	9.1%	13.9%
Providing advice or assistance in using alternative publishing models	Count	9	19	28
	% within Library Copyright Unit or Expert	32.1%	67.9%	100.0%
	% within Region	18.4%	13.8%	15.0%
	% of Total	4.8%	10.2%	15.0%
Providing advice or assistance in using author addenda or licences to publish	Count	13	16	29
	% within Library Copyright Unit or Expert	44.8%	55.2%	100.0%
	% within Region	26.5%	10.9%	15.0%
	% of Total	7.0%	8.0%	15.0%
Educating academic staff and/or researchers about author rights management	Count	14	19	33
	% within Library Copyright Unit or Expert	42.2%	56.3%	100.0%
	% within Region	28.6%	13.0%	17.1%
	% of Total	7.5%	9.6%	17.1%
Educating Library or Information Services staff about scholarly communication and/or research dissemination	Count	12	18	30
	% within Library Copyright Unit or Expert -	40.0%	60.0%	100.0%
	% within Region	24.5%	13.0%	16.0%
	% of Total	6.4%	9.6%	16.0%

Table 57: Contingency tables for copyright function by SC/RS Librarian and region

Scholarly Communication / Research Support Librarian		Region of respondent		Total
		North America	Europe	
Providing advice or assistance in interpreting publishers' and funders' policies	Count	21	20	41
	% within SC / RS Librarian	51.2%	48.8%	100.0%
	% within Region	42.9%	14.5%	21.9%
	% of Total	11.2%	10.7%	21.9%
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Count	20	22	42
	% within SC / RS Librarian	47.6%	52.4%	100.0%
	% within Region	40.8%	15.9%	22.5%
	% of Total	10.7%	11.8%	22.5%
Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	Count	24	32	56
	% within SC / RS Librarian	42.8%	57.2%	100.0%
	% within Region	51.0%	24.6%	31.6%
	% of Total	13.4%	18.2%	31.6%
Educating academic staff and/or researchers about YOUR repository service	Count	22	27	49
	% within SC / RS Librarian	44.9%	55.1%	100.0%
	% within Region	46.9%	20.3%	27.3%
	% of Total	12.3%	15.0%	27.3%
Providing advice or assistance in using alternative publishing models	Count	22	31	53
	% within SC / RS Librarian	41.5%	58.5%	100.0%
	% within Region	46.9%	22.5%	28.9%
	% of Total	12.3%	16.6%	28.9%
Providing advice or assistance in using author addenda or licences to publish	Count	20	15	35
	% within SC / RS Librarian	57.1%	42.9%	100.0%
	% within Region	40.8%	10.9%	18.7%
	% of Total	10.7%	8.0%	18.7%
Educating academic staff and/or researchers about author rights management	Count	20	22	42
	% within SC / RS Librarian	47.6%	52.4%	100.0%
	% within Region	40.8%	15.9%	22.5%
	% of Total	10.7%	11.8%	22.5%
Educating Library or Information Services staff about scholarly communication and/or research dissemination	Count	23	25	48
	% within SC / RS Librarian	47.9%	52.1%	100.0%
	% within Region	46.9%	18.1%	25.7%
	% of Total	12.3%	13.4%	25.7%

Table 58: Contingency tables for copyright function by Liaison Librarian(s) and region

Liaison Librarian(s)		Region of respondent		Total
		North America	Europe	
Providing advice or assistance in interpreting publishers' and funders' policies	Count	9	28	37
	% within Liaison Librarian(s)	24.3%	75.7%	100.0%
	% within Region	18.4%	19.6%	19.3%
	% of Total	4.8%	14.4%	19.3%
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Count	12	28	40
	% within Liaison Librarian(s)	30%	70%	100.0%
	% within Region	22.4%	19.6%	20.3%
	% of Total	5.9%	14.4%	20.3%
Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	Count	19	37	56
	% within Liaison Librarian(s)	33.9%	66.1%	100.0%
	% within Region	36.7%	26.1%	28.9%
	% of Total	9.6%	19.3%	28.9%
Educating academic staff and/or researchers about YOUR repository service	Count	23	43	66
	% within Liaison Librarian(s)	34.8%	65.2%	100.0%
	% within Region	44.9%	29.0%	33.2%
	% of Total	11.8%	21.4%	33.2%
Providing advice or assistance in using alternative publishing models	Count	14	25	39
	% within Liaison Librarian(s)	35.9%	64.1%	100.0%
	% within Region	30.6%	18.1%	21.4%
	% of Total	8.0%	13.4%	21.4%
Providing advice or assistance in using author addenda or licences to publish	Count	11	16	27
	% within Liaison Librarian(s)	40.7%	59.3%	100.0%
	% within Region	22.4%	10.9%	13.9%
	% of Total	5.9%	8.0%	13.9%
Educating academic staff and/or researchers about author rights management	Count	8	20	28
	% within Liaison Librarian(s)	28.6%	71.4%	100.0%
	% within Region	18.4%	14.5%	15.5%
	% of Total	4.8%	10.7%	15.5%
Educating Library or Information Services staff about scholarly communication and/or research dissemination	Count	5	19	24
	% within Liaison Librarian(s)	20.8%	79.2%	100.0%
	% within Region	10.2%	13.8%	12.8%
	% of Total	2.7%	10.2%	12.8%

Table 59: Contingency tables for copyright function by Copyright Unit or Officer/Legal Counsel and region

Copyright Unit or Officer / Institution's Legal Counsel		Region of respondent		Total
		North America	Europe	
Providing advice or assistance in interpreting publishers' and funders' policies	Count	10	14	24
	% within Copyright Unit or Officer / Institution's Legal Counsel	41.7%	58.3%	100.0%
	% within Region	20.4%	10.1%	12.8%
	% of Total	5.3%	7.5%	12.8%
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Count	8	7	15
	% within Copyright Unit or Officer / Institution's Legal Counsel	53.3%	46.7%	100.0%
	% within Region	16.3%	5.1%	8.0%
	% of Total	4.3%	3.7%	8.0%
Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	Count	0	3	3
	% within Copyright Unit or Officer / Institution's Legal Counsel	0.0%	100.0%	100.0%
	% within Region	0.0%	2.2%	1.6%
	% of Total	0.0%	1.6%	1.6%
Educating academic staff and/or researchers about YOUR repository service	Count	1	2	3
	% within Copyright Unit or Officer / Institution's Legal Counsel	33.3%	66.7%	100.0%
	% within Region	0.3%	1.3%	1.6%
	% of Total	0.5%	1.1%	1.6%
Providing advice or assistance in using alternative publishing models	Count	0	0	0
	% within Copyright Unit or Officer / Institution's Legal Counsel	0%	0%	0%
	% within Region	0%	0%	0%
	% of Total	0%	0%	0%
Providing advice or assistance in using author addenda or licences to publish	Count	5	6	11
	% within Copyright Unit or Officer / Institution's Legal Counsel	45.4%	54.6%	100.0%
	% within Region	12.2%	4.3%	6.4%
	% of Total	3.2%	3.2%	6.4%
Educating academic staff and/or researchers about author rights management	Count	2	12	14
	% within Copyright Unit or Officer / Institution's Legal Counsel	14.3%	85.7%	100.0%
	% within Region	4.1%	9.4%	8.0%
	% of Total	1.1%	7.0%	8.0%
Educating Library or Information Services staff about scholarly communication and/or research dissemination	Count	1	2	3
	% within Copyright Unit or Officer / Institution's Legal Counsel	33.3%	66.7%	100.0%
	% within Region	2.0%	1.4%	1.6%
	% of Total	0.5%	1.1%	1.6%

Tables 55 to 59 show some notable regional differences in staff involvement. In North America these functions are performed mostly by IR managers and scholarly communication librarians, yet staff from other library or university departments are also involved, which suggests that copyright education activities related to scholarly communication are shared across the whole institution. In contrast, in Europe, there is a tendency for the IR manager to perform all functions. Between 45.7% and 80.4% of European IR managers are involved in all activities while their US counterparts are involved between 40.8% and 69.4% (table 55).

Q 18: Do(es) your library or information services use any of the following methods to provide information on copyright related to research dissemination and/or self-archiving? (Please check all that apply)

Table 60: Copyright information communication methods

Answer Options	Response Percent	Response Count
Individual assistance, advisory service for individual queries	70.9%	133
One-to-one conversations with faculty members, researchers	67.2%	126
Presentations	63.5%	120
Webpage	60.8%	113
Workshops, seminars	46.6%	88
Printed information (e.g., brochures, newsletters)	35.4%	67
Group discussions	18.5%	35
Online tutorial	7.9%	15
None of the above	7.4%	14
Other (please specify):	5.8%	11
Answered question		**187**
Skipped question		**0**

Individual methods of communication such as individual assistance and one-to-one discussions are the most popular to address copyright issues. Next come

collective methods of information delivery such as presentations and workshops which are supported by web pages. Of the 113 respondents who said they used a copyright web page, sixty-two provided the URLs[112]. Passive means of communication such as printed information and online tutorials are less common. From these results it can be seen that repository staff feel the need to engage with their depositors, but the most popular methods of communication are reactive (individual assistance) rather than proactive (presentations).

4.1.2 Testing the research hypothesis

To evaluate the impact of copyright training and support activities and of copyright information delivery methods, full text and participation rates[113] were analysed as dependent variables.

In order to test the null hypothesis, the independent variables were transformed into ordinal/ratio variables using a scoring scale (Appendix 5). Scoring was based on the typology of information, activities and policies (Appendix 6) with copyright training and support activities content score ranging from zero to twenty and copyright information communication methods score ranging from zero to sixteen.

4.1.2.1 Descriptive statistics

Table 61: Descriptive Statistics of dependent variables[114]

62:	Cases				Range	Min	Max	Median	Mean	Std. Deviation
	Valid		Missing							
	N	%	N	%						
Full text rate	154	82.4%	33	17.6%	98	2	100	100	73.64	35.751
Participation rate (departments)	92	49.2%	95	50.8%	99	1	100	96.50	77.96	32.382

[112] The content of these pages is analysed in section 4.2.

[113] Individual participation rate will not be included as the response number is so low (n= 39) that the analysis would not draw representative results.

[114] These descriptive statistics do not include a 5% standard error of mean, which would give a 95 percent confidence interval, as the research was not conducted using a probability sampling; instead, a convenience sampling was used.

Figure 2: Histogram of full text rate

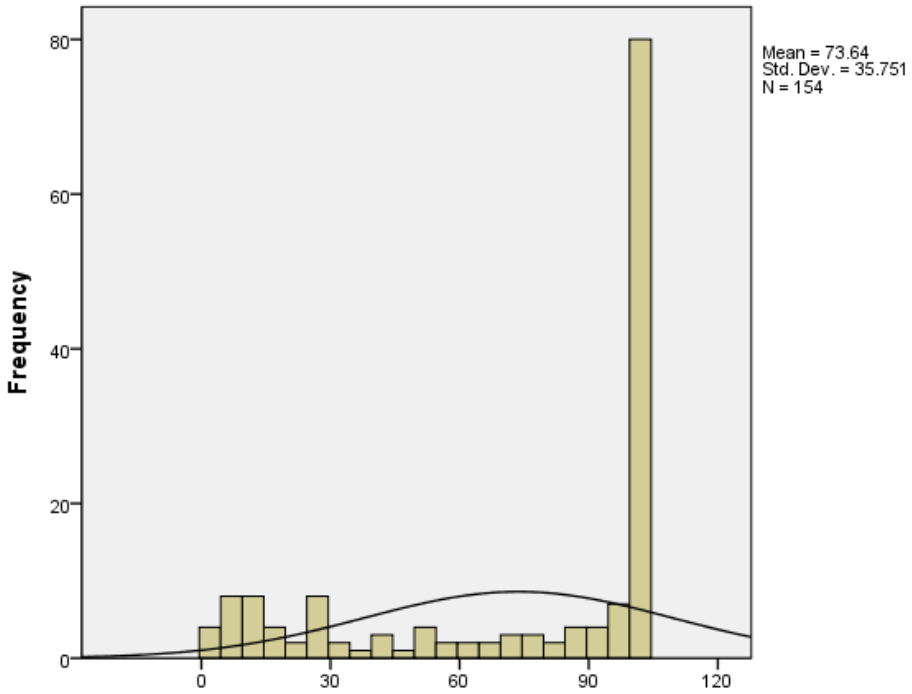
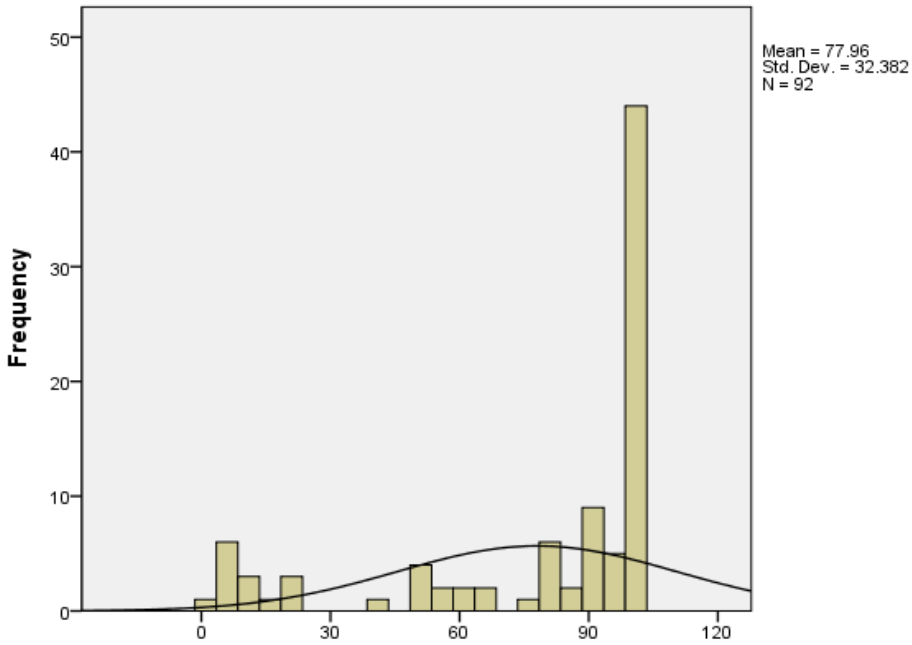


Figure 3: Histogram of participation rate



Figures 2 and 3 illustrate the uneven distribution of cases for both variables (the normal distribution curve has been included).

Table 63: Descriptive Statistics of new dependent variables

	Cases				Range	Minimum	Maximum	Median	Mean	Std. Deviation
	Valid		Missing							
	N	%	N	%						
Score of content of copyright information training or support	187	100%	0	-	20	0	20	20	16.22	5.180
Score of communication methods of copyright information	185	98.9%	2	1.1%	16	0	16	8	7.76	4.219

Figure 4: Histogram of content of copyright training or support score

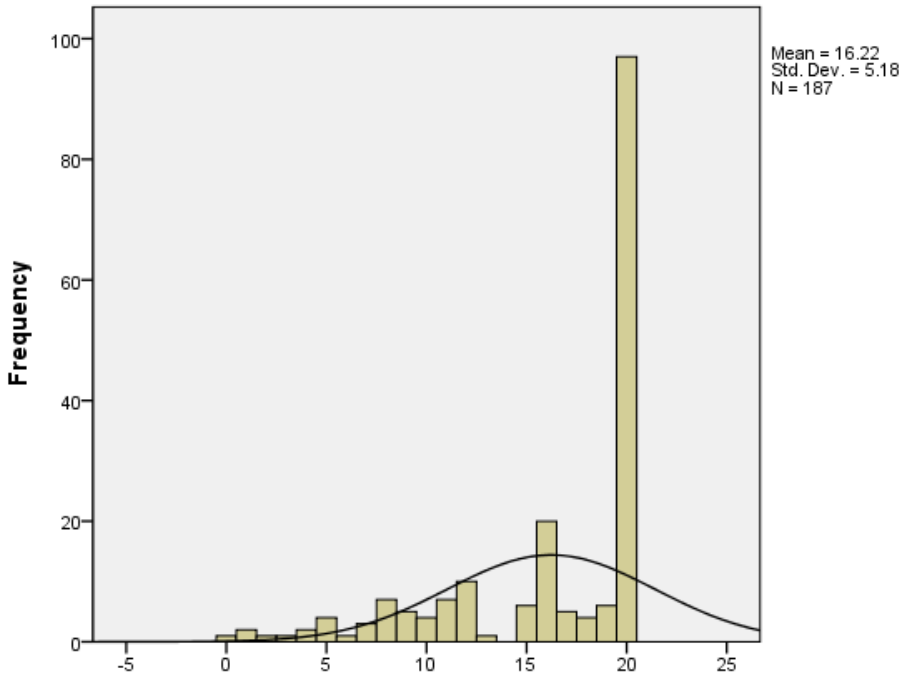


Figure 5: Histogram of content of copyright information communication methods

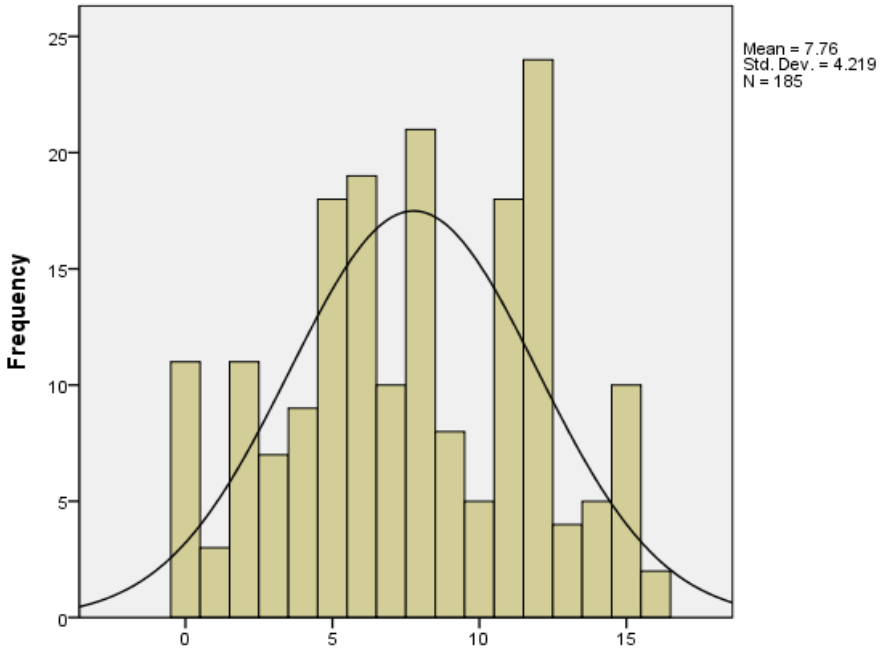


Table 64: Descriptive Statistics of dependent variables by region

	North America							Europe						
	N	Range	Min.	Max.	Median	Mean	Std. Deviation	N	Range	Mi.	Max.	Median	Mean	Std. Deviation
Score of content of copyright information training or support	49	19	1	20	20.0	16.65	5.725	138	20	0	20	19.0	16.07	4.986
Score of communication methods of copyright information	49	15	0	15	8.0	8.33	4.539	136	16	0	16	8.0	7.56	4.097

Table 64 shows that there is half a point difference in the mean scores (16.1 and 16.6) between the two regions, suggesting similar approaches for both content of copyright education and communication methods.

4.1.2.2 Inferential statistics

The following null hypothesis is being tested: there is no relationship between full text and participation rates and copyright training and support activities content and/or communication methods.

The variables analysed are:

- dependent variables: full text rate and participation rate, which are interval/ratio variables;
- independent variables: content of copyright training and support activities score and copyright information communication methods score which are interval/ratio variables.

Correlation is a technique used for investigating the relationship between two quantitative, continuous variables. According to Bryman's typology of bivariate analysis methods by variable type (2008), Pearson's r correlation should be used to test the relationship between two interval/ratio variables. It provides a measure of the strength association between these variables. Pearson's r correlation coefficient, which will almost certainly lie between zero (meaning that there is no relationship between two variables) and one (there is a perfect relationship) indicates the strength of the relationship: the closer the coefficient is to one, the stronger the relationship and vice-versa. The coefficient will be either positive or negative, indicating the direction of the relationship.

The first step in studying the relationship between two continuous variables is to draw a scatter plot of the variables to check for linearity. If the relationship between the variables is not linear, i.e. no pattern to the markers in the diagram is discernible, this means that the relationship is not significant, and further correlation tests are not necessary (Bryman, 2008).

Figure 6: Scatter plot of copyright training and support activities score value by full text rate

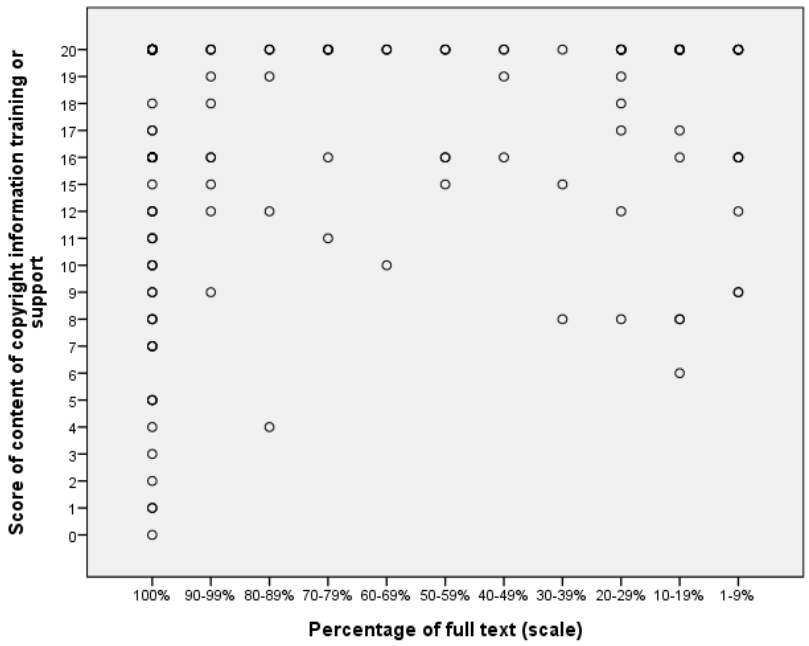


Figure 7: Scatter plot of copyright information communication methods score value by full text rate

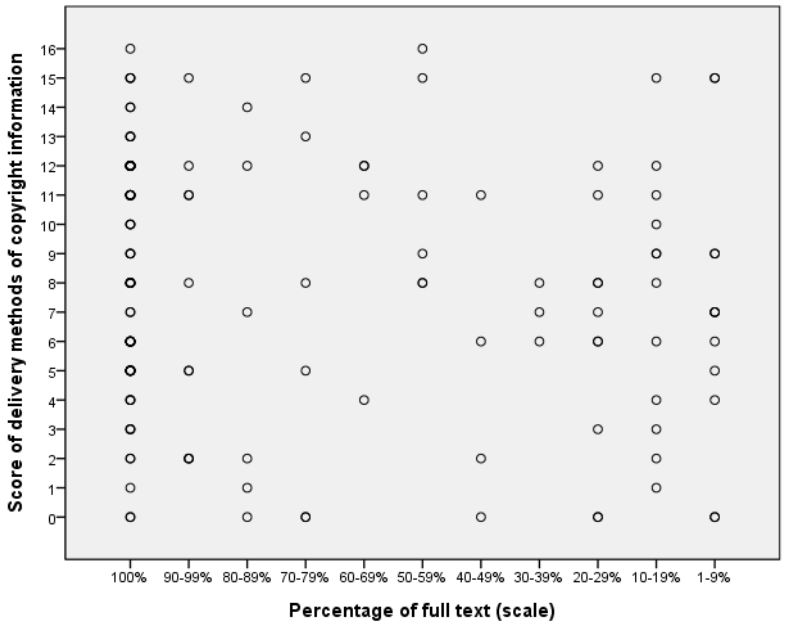


Figure 8: Scatter plot copyright training and support activities score value by participation rate

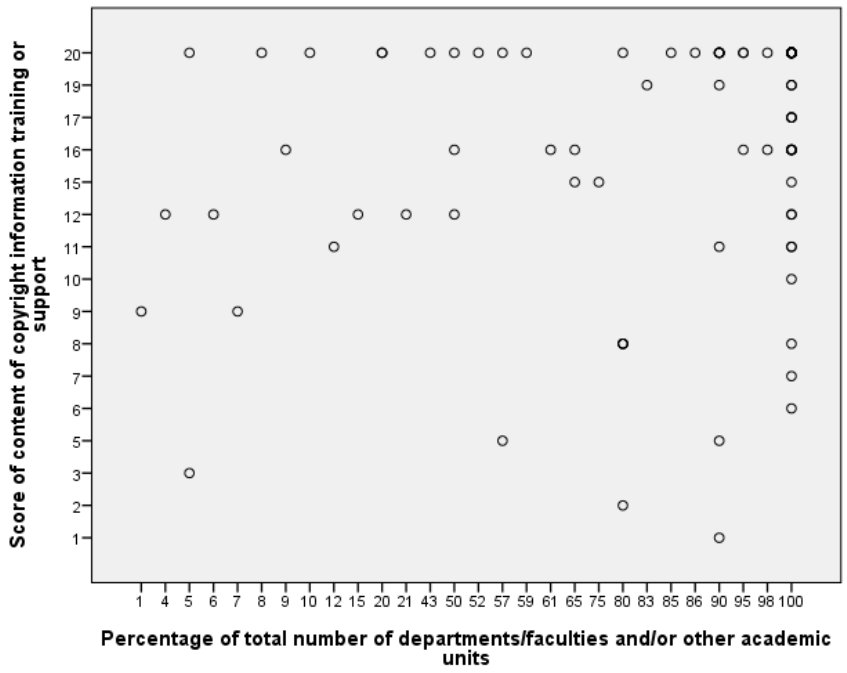
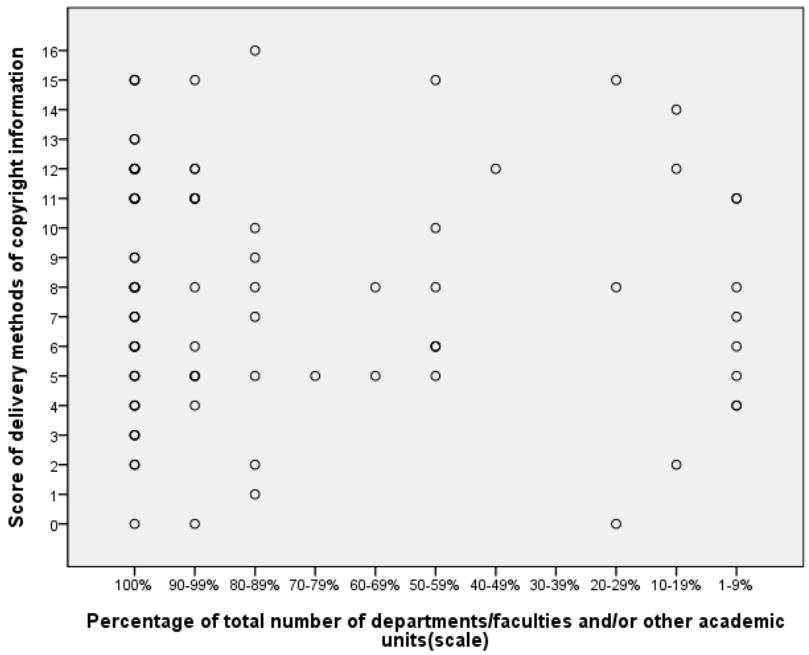


Figure 9: Scatter plot of copyright information delivery methods score value by participation rate



The scatter plots (Figures 6 to 9) obtained using SPSS do not show any pattern to the markers. This means that there is no apparent relationship between the variables.

Therefore, the null hypothesis cannot be rejected: there is no relationship between full text and participation rates and the provision of copyright training and support activities regardless of the content or communication methods.

4.2 Results from the copyright web pages content analysis

The copyright web pages data analysis was conceived for two purposes:

1. To observe the copyright approach of these pages (compliance, rights retention advocacy or neutrality– see the typology in Appendix 6).
2. To compare the score obtained for the copyright information on directly observed web pages with scores obtained for reported copyright training and support activities: are the web pages more or less rights retention advocacy or compliance oriented than copyright training?

Sixty-two (33%) respondents provided a copyright page URL[115]. Of the 125 who did not provide one, eighty-six (45.7%) did provide their repository URL[116], so it could not be interpreted as a desire to keep their provenance confidential[117]. Rather, these respondents did not have a copyright web page or were not aware of other departments providing one[118].

The links provided belonged to a variety of pages:

- repository copyright policies
- user licences
- copyright FAQs for depositors
- library copyright advisory pages
- scholarly communications support websites.

[115] In addition, one referred to an intranet page and two mentioned that a copyright page was under development or revision.

[116] In total 150 respondents provided a repository URL, i.e. 80.9%.

[117] Only twenty-five respondents, or 13.4%, did not provide any identifiable information such as repository URL, role or contact information.

[118] To verify this hypothesis the researcher initially thought of checking a random selection of twenty repositories using the repository URLs provided. However, this line of enquiry was abandoned as copyright information pages could reside on a different website so a lack of such information on the repository website itself would not be proof of the absence of copyright information provided elsewhere on an institutional website, possibly in an intranet, or in a location difficult to determine without extensive research which would have been time-consuming.

These pages did not always contain relevant information, sometimes making it necessary to explore the website further. This scan was far from exhaustive: the missing information (e.g., user licences, contact details, etc.) may have been present elsewhere but were not found in the repository or library website by the researcher. This investigation of the "visible part of the iceberg" illustrates the dispersion of such information and its lack of consistent locus. In our sample, copyright web pages were hosted on:

- the repository, or the information page about the repository service (35 of 62)
- the SC/RS section of the library website or on a separate website dedicated to researchers (18 of 62)
- the generic copyright pages managed by the library or the institution (9 of 62) (the content was not specific to research dissemination).

4.2.1 What information is contained in the copyright web pages?

Table 65 represents the number of times a particular piece of information was found[119].

Table 65: Information found on copyright web pages

Information about or links to:		**N**	**%** (n=62)
1.	Resources for locating publishers' policies on self-archiving (e.g., SHERPA/RoMEO) (B*)	46	73%
2.	Copyright restrictions that may apply to articles that have already been published and/or information on the impact of copyright on research and publishing (C**)	39	62%
3.	Open Access publishing options or about Open Access in general (incl. benefits of depositing in a repository) (RRA***)	36	57%
4.	Rights management, how to retain copyright allowing work to be published in the future (e.g., licences, copyright addenda, copyright toolbox, Creative Commons) or authors' rights (RRA***)	36	57%
5.	Contact details specific to copyright queries (not categorised)	33	50%
6.	Funders mandates or institutions' mandate or Open Access policy (C**)	29	46%
7.	Other information on copyright not related to Scholarly Communication[120] (B*)	29	46%
8.	Versioning (definitions of various "prints") and/or version management (B*)	21	33%
9.	How to obtain copyright permission and/or negotiate with publishers (RRA***)	18	29%
10.	Deposit licence for repository materials (C**)	14	22%
11.	Conditions of use for repository materials (e.g., user licence) (C**)	13	21%
12.	Take down notice (C**)	12	19%

- Both ** Compliance *** Rights retention advocacy

[119] That is, this piece of information was found in a suite of pages or in two different sections of the library website if the two sections were cross-referenced.

[120] Other copyright related information included: general information about principles of copyright, digital copyright and copyright ownership not specific to self-archiving, links to copyright legislation, institutional copyright policy, copyright organisations, tutorial on copyright, and a repository submission checklist with items related to copyright.

Copyright pages are not uniform in the information they provide. In order to analyse the content of the web pages, the information they contained was split into sections and then each was categorised according to their purpose (based on the typology in Appendix 6). The main categories were:

- compliance (C, five types of information)
- rights retention advocacy (RRA, three types of information)
- both (B, two types of information) - i.e., information type that applies to both compliance and right retention advocacy.

Other information on the pages was ignored for this purpose. The whole webpage was then scored for C and RRA types of information, with B types being added to both "sides". For example, for a web page where three C type, two RRA type, and two B type information sections were present, the score was calculated in the following manner:

- $C_n = 3 + 2 = 5$, $RRA_n = 2 + 2 = 4$
- If $C_n > RRA_n$ the website is more compliance orientated.
- If $C_n < RRA_n$ the website is more rights retention advocacy orientated.
- If $C_n = RRA_n$ the website addresses both issues of compliance and rights retention advocacy.

Table 66: Copyright approaches of web pages by location

Web page location	Frequency	Compliance	Both	Rights retention advocacy	None
Repository	35	22	6	7	-
	(56.5%)	(35.5%)	(9.7%)	(11.3%)	
Scholarly Communication	18	1	7	10	-
	(29.0%)	(1.6%)	(11.3%)	(25.0%)	
Library	9	1	2	4	2
	(14.5%)	(1.6%)	(3.2%)	(6.4%)	(3.2%)
Total	62	24	15	21	2
	(100%)	(38.7%)	(24.2%)	(33.9%)	(3.2%)

Based on the above calculations, the scores show a slight bias towards compliance (Tables 65 and 66). However, when taking the page's location into

account, the distribution reveals that repository staff are more concerned with compliance, while scholarly communication or research support web pages, and to a lesser extent library copyright web pages, are more focussed on promoting the rights management agenda.

Table 67: Copyright approaches of web pages by region

Web page location	Frequency	Compliance	Both	Rights retention advocacy	None
North America	22	5	5	11	1
	(35.5%)	(22.7%)	(22.7%)	(50.0%)	(4.5%)
Europe	40	19	10	10	1
	(64.5%)	(47.5%)	(25.0%)	(25.0%)	(2.5%)
Total	62	24	15	21	2
	(100%)	(38.7%)	(24.2%)	(33.9%)	(3.2%)

Table 67 shows a marked difference at a regional level:

- 47.5% of European web pages are compliance orientated, compared with 25% of North American pages
- 50% of North American web pages are rights retention orientated compared with 22.7% of European pages.

4.2.2 Comparison of web pages with training and support activities

Applying the scoring model used in section 4.1.2, a score was given to the copyright web pages according to the presence of compliance related information or rights retention advocacy related information (Appendix 5).

Table 68: Descriptive Statistics of copyright web pages scores

	Cases				Range	Min	Max	Mean
	Valid		Missing					
	N	%	N	%				
Score of copyright webpages	62	33.2%	135	66.8%	18	0	18	8.1

The mean score for copyright web pages is 8.1/20 (table 68): this is much lower than the mean copyright training and support copyright score (16.2/20, table 63), suggesting that more caution is exercised with regard to copyright information disseminated on the web, which tends to be more narrowly compliance-orientated than the scope of copyright training and support activities as expressed in survey responses.

Table 69: Copyright approach of copyright training and support activities

Copyright training and support activities	**N**	**%** (n=187)
1. Educating academic staff and/or researchers about the repository service (N*)	181	96.8%
2. Providing advice or assistance in interpreting publishers' and funders' policies (C**)	178	95.1%
3. Educating academic staff and/or researchers about the principles of Open Access and open scholarship approaches (RRA***)	167	89.3%
4. Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications (C**)	163	87.1%
5. Educating Library or Information Services staff about scholarly communication and/or research dissemination (N*)	156	83.4%
6. Providing advice or assistance in using alternative publishing models (e.g., Open Access journals or institutional repository services)[121] (RRA***)	151	80.7%
7. Educating academic staff and/or researchers about author rights management (e.g., how to retain copyright, how to negotiate rights with publishers)[121] (RRA***)	135	72.2%
8. Providing advice or assistance in using author addenda or licences to publish[121](RRA***)	125	66.8%

* Neutral ** Compliance ***Rights retention advocacy

Table 69 shows that compliance-orientated or neutral activities are more frequently provided than rights retention advocacy orientated ones. However, their mean score is higher, indicating that all activities are engaged with, whereas information present on copyright web pages is more selective.

[121] These activities, which can be categorized as RRA, had the most number of don't knows, suggesting a greater lack of awareness of this type of activities than with others.

In conclusion, while the web pages analysis showed that compliance and rights retention advocacy topics are covered in equal measure, the lower mean score of web pages indicates a prevalence of compliance-related information, possibly because copyright information is more frequently found on repository websites, which favour compliance information.

4.4 Limitations and lessons learned

Overall, the survey method was suitable to gather data on current practices, but not for gathering statistical data on repository KPIs, given the low response rates to questions about full text records and participation from local researchers.

The main limitation of the survey concerns the self-reporting nature of the KPIs measurement, spot checks where a repository URL was provided[122] showed that some respondents had inaccurate reported number of records or participants: these respondents may have guesstimated the number of records and/or departments, or misunderstood the question and the kind of information sought. This issue, combined with missing data, challenges the internal reliability of the study, i.e., the extent to which a measure is consistent within itself. This means that the hypothesis testing findings cannot be generalisable, and the lack of relationship between variables has not been proven beyond a doubt.

With a response rate of 18.9 % there is the possibility of bias due to non-response. That is, the individuals who did not answer the survey may have answered differently than those who did. The response rate may have been improved if the questionnaire had been distributed in other European languages, which may also have avoided misinterpretation or linguistic ambiguities amongst those respondents for whom English is nor their mother tongue[123].

The questionnaire may have introduced a bias in favour of copyright change advocacy activities and information. The social desirability effect may have

[122] For example, some survey participants have inflated their number of records, or given the number of "authors" listed in the repository regardless of whether they were staff members of their institution.

[123] The authors' rights concept does not seem to have local equivalents in some instances, and would appear to be more in use in English-speaking countries and Northern Europe (Scandinavia and Netherlands).

resulted in a padding of the copyright support activities, as repository managers are likely perceive the promotion of authors' rights as desirable.

4.5 Summary findings

The non-probability sample is representative of the target population (institutional repository managers) in its composition, even if it only represents 14.7 % of the survey population. This means that the survey findings are generalisable and have a strong external validity.

The survey responses suggest that evidence-based evaluation of IRs' success is poorly developed, as evidenced by the respondents' low ability to supply KPIs such as the number of records in the repository that are full text, the number of researchers participating in the IR and what percentage of the potential researcher base that number represents.

No causal influence of one variable on the other was statistically evident. The scatter plots showed an absence of relationship between the variables, leading us to conclude that the null hypothesis cannot be rejected: there is no relationship between full text and participation rates, and the provision of copyright training and support activities, regardless of the communication methods used. While the web pages analysis showed that compliance and rights retention advocacy related information are covered in equal measure, a compliance-orientated approach to copyright is more prevalent on web pages.

Chapter 5: Discussion

This chapter reviews the survey results to gain a picture of current practices in copyright management and support, their potential impact and the copyright approach they indicate, critically discussing the results with reference to the literature review and identifying any new or unexpected evidence.

5.1 Current Practices

5.1.1 Mandates

The literature review found that very little is done at an institutional level to ensure compliance with funder requirements (Greyson et al., 2010). Almost half of the survey respondents encourage or enforce compliance with funders' Open Access mandates (Table 14), and 41.5% (n=72, Table 15) of the respondents have an OA mandate at an institutional or departmental level. Considering there were 117 institutional mandates and thirty sub-institutional mandates listed in ROARMAP when respondents answered the survey[124], institutions with OA mandates are over-represented in this survey, which, with the high number of medium and large institution respondents, may explain the high mean number of records reported by participants: 15,548 (Table 19).

5.1.2 Copyright management

In relation to the work processes of depositing materials, two-thirds of the respondents mediate some deposits, either by assuring quality control after deposit by academics/researchers (64.2%) or by depositing on their behalf (63.6%), while 44.9% undertake the whole deposit process of material collection and deposit (table 18). This is comparable with another study showing that 66% of libraries partially mediate deposits (Brown & Swan, 2007)[125].

19.8% of the survey respondents do not manage copyright for deposits (table 28), compared to 4.3% in the survey of UK repositories (Jones, 2008), which

[124] ROARMAP "Home" 10th March 2011, retrieved from http://web.archive.org/web/20110310063413/http://roarmap.eprints.org/ on 22nd June 2012.

[125] This is deducted from the following results: 23% of libraries mediated all repository deposits, 11% were not involved in deposits at all (Brown & Swan, 2007).

also found that 86% of British institutions have copyright managed centrally by the institution (60% carry out the function within the library), not the depositor. Our survey shows that 66.7% of copyright management is centralised, while 30% is performed by a combination of library staff, authors and/or administrators (Table 30).

In almost the majority of responses (48.6%, Table 32) these activities are undertaken by one to two FTE staff, a result similar to Jones' findings[126].

5.1.3 Copyright risk management

Responses regarding the existence of a copyright department/expert and on take down policies provided indicators of attitude to risk management[127]. 61% of respondents have an individual or department with responsibility for copyright management in general (Table 35). This suggests that, for a majority of respondents, their institutions are engaging with, and assuming responsibility for, copyright and IPR issues, as demonstrated by the dedication of a position or unit to this function (Shachaf & Rubenstein, 2007). Free text answers cited repository staff, copyright officers, scholarly communication offices and various other library departments as holders of the copyright management function. These answers corroborate Horava's finding that the responsibility for managing copyright is often shared between library and university, particularly for copyright related to scholarly communication (2010).

55.1% of survey respondents had procedures in place for dealing with complaints from rights holders against the institution (Table 36). Free text comments suggest a tendency for institutions to transfer legal responsibility concerning copyright infringement to the individual, by either leaving all copyright status checking to depositors or by incorporating clauses in the deposit licences which limit the institution's liability in cases of copyright infringement.

The next section will discuss a complementary risk management strategy, consisting in the provision of copyright education programmes which place the

[126] 47.6% of his British respondents had the same response (Jones, 2008).

[127] Amongst the approaches to copyright risk management reviewed in the literature, Palmer, Teffeau & Newton (2008) suggested the hiring of specialized IP personnel, and Casey et al. (2007a) listed take-down policies as one component of a risk management strategy specific to digital repositories.

onus on individuals and demonstrate that institutions are taking steps to avoid infringement (Secker, 2010).

5.1.4 Copyright support and education

5.1.4.1 Significant regional differences

This survey showed that between 72.2% and 89.3% (Tables 49, 51, 52, 53) of respondents educated their academic staff and/or researchers on a range of topics related to scholarly communication such as: author rights; the use of alternative publishing models; or the principles of Open Access. This is a similar result to the ARL survey of seventy-three U.S. libraries on scholarly communication education initiatives (Newman et al., 2007) where 79.4% answered positively for faculty, and 19.2% for researchers. 83.4% of survey respondents educated library staff about scholarly communication and research dissemination (Table 54), compared with 76.7% in the ARL survey.

European repositories undertake copyright training and support activities more frequently than their North American counterparts, with the exception of education activities related to the promotion of author rights and copyright addenda which are championed by many North American scientific and professional organisations (SPARC, ARL). This is corroborated by the answers to question 16 of the questionnaire: while 16% of all survey respondents cited use of author addenda and licences to publish among their institutions' policies regarding intellectual property management (Table 37), 29.2% and 22.9% of North American respondents respectively use them (Table 38). In comparison, in another ARL survey on the use of author addenda (Fisher, 2009), 52% reported that they had been endorsed by their institution or consortium, and 68% promoted their use.

The most significant regional difference relates to who undertakes these activities within an organisation: in North America repository managers share education activities with colleagues from other departments, confirming the ARL survey findings (Fisher, 2009). In contrast, European repository managers are delivering most of the copyright training activities, with other categories of staff less frequently involved. This suggests that repositories are less integrated with other library functions in Europe and that European repository managers are often

"one-man bands", as implied by Robinson's all-encompassing description of the role (2009).

Both Europe and America have a similarly high mean score for copyright training and support activities, with a propensity for rights retention advocacy. This suggests that IR managers are aware of the importance of educating authors about copyright challenge and are taking steps to address the challenge[128].

Indeed, in contrast to the perception of academics and researchers surveyed by RIN (Brown & Swan, 2007), the survey results suggest that libraries are doing a lot more to meet scholars' copyright education needs than those scholars are aware of[129], consistent with the gap between perception outlined in the literature review: scholars are no more aware of copyright education activities organised by their library than they are of the existence of repository services or OA mandates at their institutions. This highlights the critical need for more promotion of, and better communication about, these activities.

5.1.4.2 Communication methods

The survey results confirm Horava's findings (2010) about strategies and methods used by Canadian academic libraries to communicate copyright information: that individual assistance (the most frequently used method by our survey respondents) is the most common method of communication[130] for copyright issues, given the complex nature of queries. The next two most frequently used methods, one-to-one conversations and presentations, were found the most effective by the respondents of the ARL survey on Scholarly Communication (Newman et al., 2007).

A RIN survey (Brown & Swan, 2007) showed that libraries have adopted a reactive approach to copyright issues by emphasising advice in response to

[128] Educating authors about copyright is cited by IR managers as the main challenge in relation to copyright management (Hanlon & Ramirez, 2011).

[129] "Only 6% of researchers report that their library proactively provides advice about establishing copyright for their own work, while 17% say their library provides such advice on request" (Brown & Swan, 2007, p. 52).

[130] "Individual assistance was seen as the most important method (whether included in a formal service or not), as copyright is a notoriously complex subject that requires personalized attention. Four other methods—information literacy, reference service, faculty liaison/outreach, and the webpage- were perceived as more or less equally important as a second-tier method." (Horava, 2010, p. 22).

queries, rather than proactively offering formal training (only 21% of responding libraries offered such formal training). This tendency is confirmed by the average mean score for copyright communication methods[131] used by survey respondents.

5.2 Impact

5.2.1 Full text rate

Xia (2007) argues that the availability of full text is a key assessment factor for self-archiving. For the purpose of our study, it also gives a measure of the copyright barrier:

> Ideally, a repository should contain the entire scholarly output of the institution. However it should be recognised that due to embargo and copyright issues only a percentage of the scholarly production can be self-archived as full text by researchers, even where document deposit has been mandated. (Casella, 2010, p. 216)

Without the embargos and other restrictions included in copyright transfer agreements, full text rate could potentially reach 100%, especially for recent research available electronically.

The full text rate reported by repository managers in our survey[132] (85.3% of North American respondents have an 80- 100% full text rate, compared with 56.7% for Europeans – Table 21) is much lower than the ones observed by Xia (2007) and Kelly (2011a)[133]. But what constitutes full text? A discussion on listserv JISC-REPOSITORIES[134] is revealing of a lack of agreement on the matter[135]. This ambiguity, combined with a risk of full text inflation if several

[131] Proactive communication methods were given a higher number of points in the scoring table (Appendix 5).

[132] 85.3% of North American respondents have an 80 to 100% full text rate, compared with 56.7% for Europeans.

[133] Xia (2007) found that the rate of full text deposit was low in European repositories, ranging from 9 to 33% of item records, while Kelly (2011a) observed a 42% full text rate in Bath University, and 54.3% for Southampton University (both institutions have open access mandates).

[134] 'A Pilot Survey of the Numbers of Full-Text Items in Institutional Repositories' *JISC-REPOSITORIES@JISCMAIL.AC.UK* [Online] 6 June 2011 (Carr, 2011; Kelly, 2011c) Retrieved from https://www.jiscmail.ac.uk/cgi-bin/webadmin?A2=ind1106&L=JISC-REPOSITORIES&F=&S=&P=7270 on 26 June 2012.

[135] "What is a "document"? A "full text"'? A "research output"? What, in short 'counts' as a piece of content, and hence validates the existence of a repository? Mostly you want to

items in various formats are attached to a record, casts doubts on the number of full text items reported by repository managers in the survey.

5.2.2 Participation rate

The participation of authors is critical to securing the right version of published research for an IR: without scholars' buy-in, IR staff rarely have access to the most commonly authorised version: the post-print, or author-created, version. Therefore the rate of full text content in IRs complying with publishers' rules will remain low. For this reason the participation rate is also a relevant KPI when evaluating the impact of copyright issues on IRs.

In a RCUK survey, 24- 32% (depending on the deposit process) of academic staff reported having deposited material in the repository (Brighton, Creaser & White, 2008). This compares to 50.6% of academics/researchers in our survey. This higher participation rate was an unexpected finding. One possible explanation for this gap is an overestimation of figures resulting from a misinterpretation of the survey question by the respondent. Another hypothesis is that deposits might also be undertaken by department administrators rather than authors themselves.

5.2.3 Methodological issues

The rates of full text availability and participation reported are higher when reported by IR managers than when observed or reported by the depositors themselves. This casts doubts on the internal validity of the survey results, and on the reliability of the survey method to gather this type of data. In addition, the high amount of missing data for questions requiring figures for full text and participation rates suggests that measuring these KPIs is not a common practice. This may be due to the absence of appropriate breakdowns in the standard IR systems, leading to methodological complexity in storing and gathering this type of information, or to different priorities such as facilitating research assessment in the UK, with a focus on providing straightforward measures of an institution's research output that do not require the provision of participation or full text

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count repository records which have a PDF or word processor file. A word-processor file must be the original source of a paper" (Carr, 2011, n.pag.).

rates. Measuring the full text rate in an IR by observation is not an easy task[136], however there is a need to develop instruments that can measure both full text and participation rates if IR evaluation is to be evidence-based. University of Utah, which implemented a copyright checking workflow and a database[137], was able to provide vital KPI statistics to repository staff (Morrow & Mower, 2009).

5.2.4 Best practice

The null hypothesis could not be statistically disproven: copyright education provision is not linked to higher full text or participation rate. However, best practice can be inferred from other factors: in North American repositories, which have a higher full text rate, author addenda and licences are endorsed, scholarly communication offices are set up, and author rights awareness education is more frequently delivered. Conversely, European repositories, where more OA mandates are in place, have higher participation rates. While we can conclude with Sale[138] that the lack of copyright education and support activities metrics make it difficult to measure its impact, this factor is 'probably' significant when associated to others. A combination of these approaches seems critical to increasing the number of KPIs that can reflect copyright barriers. At Queensland University of Technology, over 50% of the institution's published research is deposited in the IR, 90% of which has full text (Cochrane & Callan, 2007), illustrating that combining strategies increases both participation and full text rates.

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[136] Kelly attempted to gather this evidence and had to limit his study to repositories using the ePrints software, which offers an advanced search interface with a full text filter - provided this option has been enabled by the repository manager. E-Prints repositories however only represent 15.4% of all repositories (308 repositories out of the 2184 registered on OpenDOAR listed E-Prints as their software on 22nd June 2012). He concludes with a call to developers: "The future of repositories is reliant on the provision of evidence which can be used to [write] policies and so ePrints repository managers should configure their services to provide the evidence describe[d] in this post!" (Kelly, 2011a, n.pag.).

[137] The University of Utah libraries have developed an integrated system that "tracks an item and/or citation from initial ingest through the permissions and acquisitions process until it becomes fully prepared for IR inclusion" (Morrow & Mower, 2009, p. 289): U-SKIS stores items, publishers' archiving policies, communications, and author information to deal with copyright management.

[138] On 'Author support' (AS) in Australia: "AS is defined as very supportive and appropriate library (or other repository manager) interactions with the authors." "It is difficult at this stage to disentangle AS from a requirement policy through lack of an AS metric, though it probably has a significant impact in combination. The AS impact by itself is believed to be far less than that of having an effective and enforced deposit requirement." (Sale, 2006, n.pag.).

5.3 Copyright approach

The previous chapter showed that there was a substantial difference in strategic approach between training and support activities offered by repositories and libraries to their internal users, which seem to promote rights retention and compliance equally, and information available publically on the web, which is generally more compliance orientated. As a mirror to institutional policies, public web pages reflect a cautious approach to copyright. This may be part of a risk management strategy, or the result of a desire to downplay the threat that institutional repositories pose to commercial publishers.

The web pages would be the ideal place to start in order to implement a risk management policy: hosting a copyright web page is a way to demonstrate that the institution is taking copyright seriously (Secker, 2010). However, the content analysis of these copyright web pages (Table 65) shows that by and large, few pages include the risk-management strategy components outlined by Casey et al (2007a) that are suitable for web display, such as:

- Guidance on asserting rights: 57% of the web pages contained this information
- Use and observation of licences: 22% linked to a deposit licence
- Acceptable use policy: 21%
- Notice and take down policy: 19%
- Clear and consistent institutional and repository IPR policies: very few web pages had a link to a repository policy that dealt with IPR, so this wasn't recorded in the categories of information found on the web pages.

If not part of a risk management policy, then this approach may be interpreted as a reluctance to alienate publishers by advocating policies that, in the long run, could prove detrimental to their commercial interests. Horava (2010) reminds us of the political nature of copyright information, which involves stakeholders with diverging interests.

Our analysis showed that all copyright activities were engaged with. In contrast, the copyright web pages demonstrated a tendency to display more compliance orientated or neutral information, than to advocating rights retention. This indicates a concern with bringing self-archiving into closer alignment with publisher policy (Troll Covey, 2009), or with reassuring scholars who may worry

about damaging the relationship with their publishers, for example by promoting the use of SHERPA/RoMEO. This observation suggests that publically, libraries are keen to appear neutral in the author rights debate, yet internally, they seem more prone to advocate a copyright approach that favours green OA.

Libraries vary in the level of social responsibility that they assume towards copyright (Shachaf & Rubenstein, 2007). The neutral approach to copyright, which reflects a balanced view of responsibility towards copyright based on an ethical concern to respect publishers' policies whilst educating scholars about publishing alternatives, is not the norm. Instead, the analysis found in common with Shachaf & Rubenstein that North American copyright web pages were less concerned about warning users about copyright restrictions than informing and educating them about author rights, whereas European pages are more concerned with promoting legal compliance.

5.4 Conclusions

> Faculty copyright retention is a necessary precondition for libraries to help disseminate (and manage and preserve) their institution's scholarly output. (Ober, 2006, p. 221).

Tackling the issue of copyright literacy related to self-archiving amongst scholars is critical for libraries to ensure long-term access to published research produced at their institution and to guarantee the visibility of this research[139]. Dwindling budgets have resulted in journal cancellations, which in the context of resource-leasing means that perpetual access to electronic resources is not guaranteed. Developing copyright literacy is also critical because adequately managing copyright in its current form (i.e., fully complying with publishers' restrictions) requires resources that libraries do not have. As a result of lack of resources and copyright uncertainty some institutions either give up on adding published research to the repository and focus on unpublished material or digital collections instead (Owen, 2011); choose to provide bibliographic information without full

[139] "When scholars are… tempted to consider managing their copyright, what prompts them is the rationale that retaining copyright can increase the amount of and the forms of dissemination of [their] scholarship, which leads to its greater use, impact, and resulting rewards. Libraries should be clear and honest about the logic of [their] advocacy too, which seems to be: faculty copyright retention is a necessary precondition for developing new forms of dissemination that (possibly allow restructuring of some of the economic patterns to be more sustainable. Or, more bluntly, copyright retention and subsequent grants of use (might) reduce/remove (some) economic barriers to acquiring content for research/teaching." (Ober, 2006, p. 220).

text; or to lock the full text in a password-protected environment. These strategies are not realising the objectives of open access to research, the original impetus for implementation of IRs. Further evidence of the necessity of pursuing a copyright education programme comes from some major publishers' recent change of policies that impose more restrictions on authors. This phenomenon illustrates that the relaxation of publishers' policies to facilitate green OA over the years could be reversed. For this reason it is ever more critical that authors develop an awareness of rights management, something libraries are best placed to facilitate.

Until institutional repositories achieve their transformation into 'full-featured scholarly research and publishing system[s], with tools and services [...] to facilitate communications and publications that are digitally native and open access from the start' (Bankier & Perciali, 2008, p. 22), like Digital Commons or Berkeley Electronic Press, tackling copyright literacy should remain a priority for repository managers.

Chapter 6: Conclusion

This chapter will review the research and offer recommendations. It will conclude with a suggestion for further investigation.

6.1 Review of the research

This study has enabled the researcher to realise the research's aim and objectives. However, the study has revealed methodological issues with the measurement of repository full text and participation rates, which prevented the researcher from answering the research questions.

6.1.1 Review of the literature

A lack of copyright awareness was identified as a factor for non-participation and low self-archiving behaviour; copyright issues related to scholarly communication were also identified as a knowledge gap for librarians. Copyright is a sensitive issue requiring risk management, which is dealt with either through compliance or author rights advocacy orientated approaches.

6.1.2 Overview of current practice

The results of the survey shine a light on current practices in copyright management and education in European non-Anglophone institutional repositories, a population rarely surveyed[140], thus filling a gap in the literature.

Institutional repositories in North America and Europe are managing the copyright of deposited material, and manage the related risk to some extent. They are providing copyright training and support activities mainly through personal assistance: one to one conversations and group presentations. European managers are multitasking and working in isolation, whereas their North American counterparts involve their colleagues in the education activities and the promotion of repository services.

[140] The literature review demonstrated that research projects have tended to concentrate on North American or British repositories. Local studies may be available, but would target a narrower population, and would rarely have been published in English.

6.1.3 Impact

While the study could not establish a relationship between these activities and repositories' KPIs due to gaps and inconsistencies in the measurement of the full text and participation variables, other variables were identified as having an impact on these KPIs. The data analysis showed that, in European repositories, there was a connection between OA mandates and higher participation rates. North American repositories have a higher full text rate, which is associated with a higher use of author addenda and licences, more education about author rights, and a rights retention advocacy copyright approach on their web pages.

6.1.4 Copyright approaches

In their public approach to copyright, as represented by their web pages, repository and European web pages favour compliance, while scholarly communication pages advocate author rights retention: such pages, while prevalent in North America, are less developed in Europe.

6.2 Limitations

Overall, the survey method was suitable to gather data on current practices, but not for gathering statistical data on repository KPIs, given low response rates around questions centred on full text records and participation in the repositories from local researchers.

The main limitation of the survey concerns the self-reported nature of the KPIs measurement. This issue, combined with missing data, means that the hypothesis testing findings cannot be generalisable, and the lack of relationship between variables has not been proven beyond a doubt. The research questions therefore remain unanswered: it is impossible to say whether it is worth investing resources in copyright training and support activities in order to improve full text and participation rates.

6.3 Recommendations

To succeed in removing copyright as an impediment to IR success the approach should be multi-faceted.

6.3.1 A blended approach

The survey has revealed that North America and Europe are following two different approaches regarding copyright, and that each is bringing results. In order to achieve high KPIs for both full text and participation, a blend of both approaches is required. This could be modelled on the Australia approach, where the implementation of OA mandates by institutions and funders, combined with copyright management, support and education strategies, led to higher deposit rates (Sale, 2006).

Self-archiving, like copyright education, is seen by time-poor academics and researchers as a burden (CIBER, 2010; MacColl & Jubb, 2011). Combining mediated deposits with a copyright management service giving guidance to faculty on publishers' self-archiving policies and author rights would address this and allay scholars' copyright concerns and confusion (Kim 2011, 2010).

6.3.2 Embed copyright education and involve staff

Hanlon & Ramirez concede that "copyright clearance workflows may be seen largely as [a] stop gap solution on the way to greater rights retention by authors and openly accessible publication venue" (2011, p. 694). Maximising mediated deposit processes reinforces the need for version management education and making copyright education part of the induction process for new scholars (Secker, 2010) may achieve a higher copyright awareness and result in getting more compliant full text. In the long term it would also reduce the burden of copyright management on repository staff. Copyright training should also be tailored for library staff to enable them to become involved and develop confidence about copyright and rights retention (Wirth & Chadwell, 2010).

Another strategy, inspired by North American practice, is to expand copyright functions to other library departments so that they cease to be viewed as the sole reserve of repository staff. This would ensure more engagement with copyright issues at an institutional level while spreading the workload. An ideal group to involve would be liaison librarians who, through their dealings with faculty and their familiarity with their disciplines' dissemination cultures are best placed to address their concerns (Jenkins, Breakstone & Hixson, 2005). Acquisitions staff could also have a role, negotiating directly with publishers by

including author rights within library content licences, e.g., by introducing rights to re-use and deposit research content[141].

6.3.3 Improve KPI measurement

A key research finding from the survey return was that crucial evidential statistical data were available in too small a number of cases. IRs must improve their KPI measurement by implementing workflows that enable the capture of crucial indicators of success related to copyright education and support services. If obtaining more full text and increased participation are the desired outcomes, the effectiveness of copyright education programmes in achieving this will remain difficult to measure unless the tracking facilities in repository software or other work processes are improved.

6.4 Suggestion for further research

Evaluating a copyright training programme by measuring the self-archiving behaviour of participants both before and after the programme would expand this study and add further validity or negate the initial findings. The effectiveness of the programme could be assessed through a combination of observed and self-reported behaviour, and by measuring outcomes, in particular full text and participation rates.

Pending the improvement of IR metrics gathering processes, a study of repositories using ePrints where full text filtering is in place could remedy one of the methodological issues outlined in this research. Having clear information about any changes in the number of full text records would allow evidence-based assessments of different communication/education methods. Such research may eventually provide an answer to whether libraries should invest resources in copyright training.

[141] Anderson offers standardised language: "Authors affiliated with Licensee whose work ("Content") is accepted for publication within the Licensed Materials shall retain the non-exclusive, irrevocable, royalty-free right to use their Content for scholarly and educational purposes, including self-archiving or depositing the Content in institutional, subject-based, national or other open repositories or archives (including the author's own web pages or departmental servers), and to comply with all grant or institutional requirements associated with the Content." (2010, p. 12).

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Appendices

Appendix 1. Survey Instrument

Introduction

Thank you for taking the time to participate in this survey about copyright awareness activities and intellectual property (IP) management in institutional repositories. It should take approximately 20 minutes to complete.

The survey is open until March 26th 2011.

To help you understand the purpose of this survey and how the data gathered will be used, I have prepared an information notice.

If you have any questions about the survey, please do not hesitate to contact me at [xxxx@xxx.com].

If you complete the survey, I will assume that you give your informed consent to take part in the study and that you understand that:

- You have had the opportunity to read the information notice explaining the research and to contact me at anne.vernet@gmail.com to raise any questions or concerns.
- Your participation in this study is completely voluntary and that by participating you implicitly give your consent for the data you provide to be used for scholarly purposes only.
- Your responses will be treated anonymously and in confidence.
- Any information you provide is for data analysis only and the results will not identify any institutions or individual.
- You allow me to use your direct quotes (that is, any comments/statements you might write as part of the survey) anonymised in the study's write-up.
- Following the completion of my dissertation, the anonymised survey results will be disseminated via OpenDOAR email distribution service.
- You are free to withdraw from the study at any time, without giving any reason. But, as the response system is anonymous, once you have

completed the survey it would not be possible to identify and remove your submission should you so wish.

Instructions on how to fill and submit the survey:

- You must complete all questions, unless otherwise marked.
- When you have completed a section click the "Next" button to continue.
- You can return to a previous page at any time to review or amend your answers by clicking “Prev”.
- At the end of the survey, you will need to click “Done” to submit your responses on the last screen.
- You can leave the survey at any time by clicking “Exit the survey”.
- Exiting the survey will not lose your work: you can return at any time to complete the survey, or edit your responses. You may return to the same page if you use the same computer that you used to initially access the survey. NOTE: Cookies must be enabled for this option; your IP address will not be stored. The survey is open until March 26th 2011.

Please note: Don’t worry if you are not familiar with the issues raised by specific questions, or if none of the answers provided apply to your institution. This survey is international in scope and is being circulated in North America and Europe, where institutional contexts differ. Whilst every effort has been made to describe situations and contexts that apply to all regions and institutes, this may not always be the case. You will have the option to answer “Don’t know”, “Not applicable”, or to provide details in the “Other” field if the answers provided are not relevant to your situation.

Thank you in advance for your time and assistance.

Your institution

The four questions in this section cover your institution's location, size and policies regarding the dissemination of research outputs.

1. What country is your institution located in?

_____

2. What is the size of your institution? (Number of Full Time Equivalent students enrolled)

    - Small (0 - 9,999)
    - Medium (10,000 - 25,000)
    - Large (over 25,000)
    - Not applicable: my organisation is not an educational institution (e.g., government agency, corporation, international organisation, think tank, etc)

3. Does your institution encourage or enforce compliance with funders' mandates for research outputs funded by grants? (e.g., NIH, Wellcome Trust, FP7 Open Access pilot)

    - Yes
    - No
    - Not at present, but it is under consideration
    - Don't know

4. Is there a self-archiving mandate or policy for research outputs not funded by grants? (please check all that apply)

    - Yes, at an institutional level
    - Yes, at a departmental or faculty level
    - No
    - Not at present, but it is under consideration
    - Don't know

Your repository

The seven questions in this section cover the number of records, types of item held, deposit processes, and participation rate in your repository.

5. Does your repository contain any of the following? (Please check all that apply)

    - Published research outputs (e.g., articles, books, chapters etc.)
    - Unpublished research outputs (e.g., working papers, conference papers etc.)

- Articles from non-refereed sources (e.g., magazines, newspapers, etc.)
- Theses, dissertations
- Internal reports, presentations
- Primary data or datasets
- Course material, learning objects
- Archival material, special collections
- Other (please specify): _____

6. Which statement best describes the work processes of depositing materials in your repository? (Please check all that apply)

   - Self-depositing by academics/researchers, quality control by specialised staff members
   - Delivery of materials by academics/researchers, depositing by specialised staff members
   - Collection of materials and depositing by specialised staff members independent of the academics/researchers
   - Harvested from other repositories, e.g., PubMed
   - Other (Please describe): _____

7. What is the current number of records held in your repository? (If you don't know please enter 999)

   - Total number of records: _____
   - Metadata-only records: _____
   - Records with full text: _____

8. How many academics or researchers of your institution have materials in your repository? (If you don't know, please enter 999; if not applicable, please enter 000) *NOT the total number of authors indexed in your repository

   - Total number of academics/researchers: _____
   - Percentage of total number of academics/researchers: _____

9. How many departments/faculties, or other research units, are participating in your repository? (if you don't know, please enter 999; if not applicable, please enter 000)

    - Total number of departments/faculties and/or other research units: _____
    - Percentage of total number of departments/faculties and/or other academic units: _____

Intellectual Property (IP) management of your repository material

The questions in this section cover how IP is managed for materials deposited in your repository in terms of responsibility, staffing and training received.

10. Do you, as an institution, actively manage IP for items in your repository (e.g., do you check publishers' requirements regarding deposit, contact publishers for permission to deposit materials in the repository, display information about the copyright conditions attached to an item, enforce deposit conditions)?

    - Yes
    - No
    - Not at present, but it is under consideration

11. Is IP management for repository materials centralised or decentralised?

    - Centralised (i.e., performed by your library or information services, or by a central compliance unit)
    - Decentralised (i.e., performed by individual academics/researchers, or by department/faculty administrators)
    - A combination of both

12. How many FTE staff are responsible for the IP management of repository materials?

    - Less than 1
    - 1 - 2
    - 3 - 5

- Over 5

13. Does your institution recognise the training and development needs required tomanage IP for repository materials?

    - Yes, training and development programmes are provided/funded
    - Yes, but currently no formal development programmes are provided/funded
    - No
        - Not at present, but it is under consideration
        - Don’t know

    If training and development programmes are provided or funded, please provide details of courses: _____

14. Is there a department, service or individual in your library or information services with responsibility for IP management in general (e.g., copyright clearance for electronic reserve material or permissions seeking for digitisation projects)?

    - Yes
    - No
    - Don't know
    - If yes please specify: _____

15. Is there a department, service or individual in your library or information services with responsibility for IP management in general (e.g., copyright clearance for electronic reserve material or permissions seeking for digitisation projects)?

    - Yes
    - No
    - Don't know
    - If yes please specify: _____

16. Does your repository have any procedures for dealing with complaints from rightsholders against the institution (e.g., a take down policy)?

- Yes
- No
- Not at present, but it is under consideration
- Don't know
- If yes please specify: _____

17. Does your institution have a policy regarding to any of the following? (Please check all that apply)

    - Licence to publish (e.g., SURF Copyright Toolbox Authors Licence) or an Amendment to Publication Agreement form (e.g., MIT Amendment form)
    - Works written during the course of employment
    - Use of author/licence addenda (e.g., SPARC / Science Commons Addendum)
    - None of the above
    - Don't know
    - Other (Please specify): _____

Content and delivery of information on copyright related to scholarly communication

The questions in this section cover the responsibility for the delivery of information on scholarly communication and self-archiving in the institution, as well as the content and dissemination methods of this information.

18. Who in your institution performs the following functions? (Please check all that apply)

	Repository Staff	Library Copyright Unit or Expert	*Scholarly Communication / Research Support Librarian*	Liaison Librarian(s)	*Copyright Unit or Officer/ Institution's Legal Counsel*	Not applicable	*Don't know*	Other*
A - Providing advice or assistance in interpreting publishers' and funders' policies	□	□	□	□	□	□	□	□
B - Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications *(e.g., open access mandates, research data management)*	□	□	□	□	□	□	□	□
C - Educating academic staff and/or researchers about the principles of open access and open scholarship approaches	□	□	□	□	□	□	□	□
D - Educating academic staff and/or researchers about YOUR repository service	□	□	□	□	□	□	□	□
E - Providing advice or assistance in using alternative publishing models *(e.g., open access journals or institutional repository)*	□	□	□	□	□	□	□	□
F - Providing advice or assistance in using author addenda or licences to publish	□	□	□	□	□	□	□	□

	Repository Staff	**Library Copyright Unit or Expert**	***Scholarly Communication / Research Support Librarian***	**Liaison Librarian(s)**	***Copyright Unit or Officer/ Institution's Legal Counsel***	**Not applicable**	***Don't know***	**Other***
G - Educating academic staff and/or researchers about author rights management *(e.g., how to retain copyright, how to negotiate rights with publishers)*	□	□	□	□	□	□	□	□
H - Educating Library or Information Services staff about scholarly communication and/or research dissemination issues, (*e.g., institutional repository services and open scholarship approaches, author rights management)*	□	□	□	□	□	□	□	□

* Other arrangement

(please specify each service you are referring to: A, B, C, D etc):

_____

Please indicate any other services not listed above, which support copyright awareness and/or scholarly communication or research dissemination at your institution. (Optional)

_____

19. Do(es) your library or information services use any of the following methods to provide information on copyright related to research dissemination and/or self-archiving? (Please check all that apply)
    - Workshops,seminars
    - Presentations
    - Group discussions
    - One-to-one conversations with faculty members, researchers
    - Individual assistance, advisory service for individual queries
    - Webpage
    - Online tutorial
    - Printed information (e.g., brochures, newsletters)
    - None of the above
    - Other (please specify): _____

20. If you maintain a webpage on copyright issues related to research dissemination and/or self-archiving, please provide the URL. (Optional)

    Please note: this information will not be included in the survey analysis and will be removed from the aggregated results.

    _____

Feedback and comments[142]

In this optional section you have the opportunity to give details of your experience of IP management and/or copyright information dissemination in your own words.

21. In your opinion, what are the biggest challenges your institution faces in relation to IP management and/or copyright education relating to scholarly communication or research dissemination? (Optional)

    _____

22. If you have any further comments about the topics/questions covered in this survey or a relevant topic not covered, then please feel free to discuss them in the box below. (Optional)

[142] Answers to questions 21 and 22 were analysed but not included in this study in order to comply with word count requirements.

_____

Personal information

Finally, please answer the following questions about yourself. Please note that these questions are optional, and that should you provide personal details, your answers to the rest of the survey will be anonymised

23. What is the URL of your repository? (Optional)
Please note that this information will not be included in the survey analysis and will be removed from the aggregated results.

_____

24. What is your position or role in relation to your repository? (Optional)

_____

25. Are you willing to be contacted directly with further questions or for a follow-up dialogue?
    - Yes
    - No

Personal information (continued)

In this final, completely optional, section you have the opportunity to provide personal information. Should you provide personal details, your answers to the rest of the survey will be anonymised.

26. Please provide your contact information. (Name and Email address are required)
Name:
Institution:
Email Address:
Phone Number:

Survey completed

You have reached the end of the survey. Please click DONE to submit your responses.

Appendix 2. Information Notice for the survey

Institutional Repositories Online Survey Information

What does the survey involve?

I would like to invite you to take part in a survey, available at https://www.surveymonkey.com/s/irsurvey2011, which should take approximately 20 minutes to complete. In most questions, you will only need to tick multiple choice options; at the end of the survey you will have the opportunity to provide feedback and comments.

The survey is open until March 26th 2011.

Why am I doing this study?

Research background:

The proportion of the published articles available in a freely downloadable self-archived version (Green Open access) is estimated at 20% (Bjork et al., 2010*), despite the growing number of institutions and funders adopting Open Access mandates and the fact that 65% of publishers (and 95% of the 100,000 journals they represent) listed in Sherpa-RoMEO allow it in some shape or form.

The slow adoption of the self-archiving practice is the subject of many studies about academics' and researchers' behaviour and attitudes with regard to Open Access, and several contributing factors have been suggested (e.g., differences in disciplinary behaviour, preference for high impact journals, low awareness of repositories and of institutional policies).

This research focuses on the concerns and misunderstandings expressed by researchers and academics about copyright. It investigates the support available at institutions that run a repository with regard to:

- building copyright awareness relating to scholarly communication;
- IP management specific to self-archiving.

* Björk, B. C., Welling, P., Laakso, M., Majlender, P., Hedlund, T., & Guðnason, G. (2010). Open Access to the Scientific Journal Literature: Situation 2009. *PLoS ONE, 5(6).* Retrieved from

http://www.plosone.org/article/info%3Adoi%2F10.1371%2Fjournal.pone.0011273

Objectives of the survey

- To gather information on current practices in North American and European institutional repositories with regard to the IP management of material deposited and the provision of copyright awareness and support activities related to scholarly communication and self-archiving.
- To assess the impact of such activities on institutional repositories' content and participation rates.

The questions that comprise the survey are outlined in six sections:

1. Your institution
2. Your repository
3. Intellectual property management of repository material
4. Content and delivery of copyright information relating to scholarly communication and self-archiving
5. Comments and feedback
6. Personal information (optional)

Who is it for?

The survey is open to all North American and European institutions that run an institutional repository, whether they are a higher education institute or not (government agency, corporation, international organisation, think tank, etc.). I would like to hear from repository managers or staff with access to statistics for the repository and a broad knowledge of copyright activities at their institution.

Before you complete the survey, please note the following procedures:

Confidentiality

The information you provide will be treated with complete confidentially by the researcher.

Anonymity

All personal data will be removed at the analysis stage. No individuals or individual institutions will be identified in the results.

Any comments from respondents directly quoted in the dissertation will be used selectively and, for the purposes of maintaining anonymity, may be edited to remove information that would allow the identification of the individual or institution involved.

Should you choose to provide your contact details (this is optional), this information will only be used in the event that I feel it would be helpful to contact you to answer follow-up questions.

Data security

All data collected in this survey will be held anonymously and securely. All data is stored in a password protected electronic format. IP addresses will not be collected or stored in the survey results.

Dissemination

Following the completion of my dissertation, the anonymised survey results will be disseminated via the OpenDOAR mailing service.

Definitions

Please use the following definitions for the purpose of this survey.

- Author Rights Management: In the context of scholarly communication, Author Rights Management refers to policies and tools designed to assist academics and researchers in retaining the copyright for their materials. The purpose of Author Rights Management is to facilitate the dissemination of their work and increase their research impact. This typically involves publishing in open-access journals or negotiating with publishers to retain all or some of the following rights: to reuse their work in teaching, future publications, or in scholarly and professional activities; to post their work on the web (sometimes referred to as "self-archiving") e.g., on a personal web page, Institutional Repository, or a subject archive.

- Author (or Licence) Addenda: A contract that grants the author the 'licence to publish' instead of a 'transfer of copyright', e.g., SPARC, Science Commons, SURF. This can allow the author to post pre-print and post-print research material related to a published journal article in an Institutional Repository.
- Full Time Equivalent (FTE): A way to measure a worker's involvement in a project, or a student's enrolment at an educational institution. An FTE of 1.0 means that the person is equivalent to a full time worker, while an FTE of 0.5 signals that the worker is only half-time.
- The Institution: The organisation being discussed with regards to its Institutional Repository. While it is expected that most of the organisations discussed will be higher education organisations the scope of this survey also includes any organisations that may have an Institutional Repository such as, but not limited to, government agencies, corporations, international organisations, think tanks etc.
- Institutional Repository (IR): An online collection that captures, preserves, and allows access to the intellectual output of an institution, particularly a research institution. For the purpose of this survey, your institutional repository will be referred to as "your repository".
- Intellectual Property (IP) Management: The processes for managing rights creation, licensing and usage. In the context of this survey: the management of IR content under copyright, e.g., tracking and contacting rightsholders, checking publishers' requirements regarding self-archiving, contacting publishers for permission to deposit materials in the Institutional Repository, enforcing deposit conditions, or displaying information about the copyright conditions attached to an item.
- Scholarly Communication: The process by which academics, scholars and researchers share and publish their research findings so that they are available to the wider academic community, including but not limited to, scholarly articles.
- Self-Archiving: The process whereby authors deposit digital copies of their own work on a publicly available website, e.g., personal or departmental web pages, or in online repositories run by a research institution, research funder, government or public body.

Thank you in advance for your time and help.

Appendix 3. Invitation to participate in the survey

Original message

Subject: Institutional repositories survey[143].

Dear all,

My name is Anne Vernet and I work in an Irish academic library, where I check the copyright status of items deposited in the institutional repository. I am also a Master's student at Aberystwyth University, studying an MScEcon in Information and Library Studies by distance learning.

As part of my studies, I am undertaking a research project under the supervision of Dr Lucy Tedd. This project investigates current practices in institutional repositories with regards to intellectual property (IP) management of materials deposited and the provision of copyright awareness and support activities related to scholarly communication and self-archiving.

The survey:
Because of your involvement in the area of digital repositories, I would like to invite you to take part in a survey, which should take approximately 20 minutes to complete. Most questions are simple multiple choice responses and at the end of the survey you will have the opportunity to provide more extensive feedback and comments if you wish. All responses to this survey will be kept confidential and the aggregated data will be anonymised. The survey is open until March 26th 2011.

Before you decide whether or not to take part in the survey, please take time to read the information notice available as a link from the survey's introductory screen. It will help you understand why the research is being done and what it will involve. If you would like more information about this research project, then please feel free to contact me at xxx@xxxx.com.

[143] Only plain text was allowed for the message.

Who should participate and why?
I would like to hear from repository managers or staff with access to statistics for the repository and broad knowledge of copyright activities at their institution. I would appreciate if you could forward this invitation to a colleague if you feel that person is better suited to complete the survey.
Your contribution to the survey will enable me to assess whether there are benefits to dedicating resources to copyright awareness activities and IP management for institutions running repositories.

Dissemination of the survey results:
Following the completion of my dissertation, the anonymised survey results will be disseminated via the OpenDOAR mailing service.

Many thanks in advance for your time and assistance.
Your participation will be greatly appreciated.

URL: https://www.surveymonkey.com/s/irsurvey2011

Contact: Anne Vernet (xxxxx@xxx.com)

Reminder message

Dear all,

I recently contacted you to invite to take part in a survey on institutional repositories. The original message is copied below for the context to this.
If you responded to the survey I would like to thank you for taking time to do so.
If you have not yet completed the survey, there is still time to do so.

Follow up message after close of survey

I would like to thank everyone who responded to the survey. I received a large number of responses, which have provided me with a range of valuable feedback on current practice.

Following the completion of my dissertation, the anonymised survey results will be sent via OpenDOAR mailing service.

I would like to thank you for your time in completing the survey. If you have any queries or have additional comments please feel free to contact me at xxx@xxx.com.

Appendix 4. SPSS Codebook

Variable Name	Type	Measure	Variable Description (Label)
id	Numeric	Nominal	Respondent ID
country	String	Nominal	Country of respondent
region	String	Nominal	Region of respondent
instsize	String	Nominal	Size of respondent's institution
fundmand	String	Nominal	Policy on funders' mandates - details
fundpoli	Numeric	Scale	Policy on funders' mandates
mandinst	String	Nominal	OA mandate at institutional level
manscho	String	Nominal	OA mandate at school level
mandatinsc	String	Nominal	OA mandate at both institutional and school level
nomandat	String	Nominal	No OA mandate
dkmandat	String	Nominal	OA mandate: Don't know
oamandat	Numeric	Scale	OA mandate
itemtypa	String	Nominal	Published research outputs (e.g., articles, books, chapters etc.)
itemtypb	String	Nominal	Unpublished research outputs (e.g., working papers, conference papers etc.)
itemtypc	String	Nominal	Articles from non-refereed sources (e.g., magazines, newspapers, etc.)
itemtypd	String	Nominal	Theses, dissertations
itemtype	String	Nominal	Internal reports, presentations
itemtypf	String	Nominal	Primary data or datasets
itemtypg	String	Nominal	Course material, learning objects
itemtyph	String	Nominal	Archival material, special collections
itemtypi	String	Nominal	Other Item types
depoself	String	Nominal	Self-depositing by academics/researchers, quality control by specialised staff members
deporesa	String	Nominal	Delivery of materials by academics/researchers, depositing by specialised staff members
depoliba	String	Nominal	Collection of materials and depositing by specialised staff members independent of the academics/researchers

Variable Name	Type	Measure	Variable Description (Label)
depoharv	String	Nominal	Harvested from other repositories, e.g., PubMed
depoothe	String	Nominal	Other depositing models
recordno	Numeric	Scale	Total number of records
metadano	Numeric	Scale	Metadata-only records
fultexno	Numeric	Scale	Records with full text
fultextp	Numeric	Ordinal	Percentage of records with full text
fultextz	Numeric	Ordinal	Percentage of full text (scale)
fultextx	Numeric	Ordinal	Percentage of full text (smaller scale)
acadresn	Numeric	Scale	Total number of participating academics/researchers
acadresp	Numeric	Ordinal	Percentage of total number of academics/researchers
acadresz	Numeric	Ordinal	Percentage of total number of academics (scale)
schodepn	Numeric	Scale	Total number of participating departments/faculties and/or other research units
schodepp	Numeric	Ordinal	Percentage of total number of departments/faculties and/or other academic units
schodepz	Numeric	Ordinal	Percentage of total number of departments/faculties and/or other academic units(scale)
schodepx	Numeric	Ordinal	Percentage of total number of departments/faculties (smaller scale)
ipmanage	String	Nominal	IP management by Library staff-Details
ipmanagz	Numeric	Scale	IP management by Library staff
ipcentral	String	Nominal	IP management model
ipstaff	String	Ordinal	IP management staff
iptrain	String	Nominal	IP management training (all options)
iptrainz	String	Nominal	IP management training (yes/no)
iplibdep	String	Nominal	IP department or manager
iptakedo	String	Nominal	Take down policy (all options)
iptakdoz	String	Nominal	Take down policy (yes/no)
ipinstli	String	Nominal	Licence to publish

Variable Name	Type	Measure	Variable Description (Label)
ipinstwo	String	Nominal	Works written during the course of employment
ipinstad	String	Nominal	Use of author/licence addenda
ipinstno	String	Nominal	No IP management policy
ipinstdk	String	Nominal	IP management policy: Don't know
ipinstot	String	Nominal	Other IP management policy
ipinstlx	Numeric	Scale	Licence to publish
ipinstwx	Numeric	Scale	Works written during the course of employment
ipinstax	Numeric	Scale	Use of author/licence addenda
ipinstnx	Numeric	Scale	No IP management policy
ipinstz	String	Nominal	IP management institutional policy (yes/no)
scoripol	Numeric	Ordinal	Score of IP management institutional policy
functaa	String	Nominal	A - Providing advice or assistance in interpreting publishers' and funders' policies - Repository Staff
functab	String	Nominal	A - Library Copyright Unit or Expert
functac	String	Nominal	A - Scholarly Communication / Research Support Librarian
functad	String	Nominal	A - Liaison Librarian(s)
functae	String	Nominal	A- Copyright Unit or Officer / Institution's Legal Counsel
functaf	String	Nominal	A - Not applicable
functag	String	Nominal	A - Don't know
functah	String	Nominal	A - Other
functaz	String	Nominal	Providing advice or assistance in interpreting publishers' and funders' policies (yes/no)
functax	Numeric	Scale	Providing advice or assistance in interpreting publishers' and funders' policies (yes/no)
functba	String	Nominal	B - Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications - Repository Staff
functbb	String	Nominal	B - Library Copyright Unit or Expert

Variable Name	Type	Measure	Variable Description (Label)
functbc	String	Nominal	B - Scholarly Communication / Research Support Librarian
functbd	String	Nominal	B - Liaison Librarian(s)
functbe	String	Nominal	B - Copyright Unit or Officer / Institution's Legal Counsel
functbf	String	Nominal	B - Not applicable
functbg	String	Nominal	B - Don't know
functbh	String	Nominal	B - Other
functbz	String	Nominal	Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications (yes/no)
functbx	Numeric	Scale	Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications (yes/no)
functca	String	Nominal	C - Educating academic staff and/or researchers about the principles of open access and open scholarship approaches - Repository Staff
functcb	String	Nominal	C - Library Copyright Unit or Expert
functcc	String	Nominal	C - Scholarly Communication / Research Support Librarian
functcd	String	Nominal	C - Liaison Librarian(s)
functce	String	Nominal	C - Copyright Unit or Officer / Institution's Legal Counsel
functcf	String	Nominal	C - Not applicable
functcg	String	Nominal	C - Don't know
functch	String	Nominal	C - Other
functcz	String	Nominal	Educating academic staff and/or researchers about the principles of open access and open scholarship approaches (yes/no)
functcx	Numeric	Scale	Educating academic staff and/or researchers about the principles of open access and open scholarship approaches (yes/no)
functda	String	Nominal	D - Educating academic staff and/or researchers about YOUR repository service - Repository Staff

Variable Name	Type	Measure	Variable Description (Label)
functdb	String	Nominal	D - Library Copyright Unit or Expert
functdc	String	Nominal	D - Scholarly Communication / Research Support Librarian
functdd	String	Nominal	D - Liaison Librarian(s)
functde	String	Nominal	D - Copyright Unit or Officer / Institution's Legal Counsel
functdf	String	Nominal	D - Not applicable
functdg	String	Nominal	D - Don't know
functdh	String	Nominal	D - Other
functdz	String	Nominal	Educating academic staff and/or researchers about YOUR repository service (yes/no)
functdx	Numeric	Scale	Educating academic staff and/or researchers about YOUR repository service (yes/no)
functea	String	Nominal	E - Providing advice or assistance in using alternative publishing models - Repository Staff
functeb	String	Nominal	E - Library Copyright Unit or Expert
functec	String	Nominal	E - Scholarly Communication / Research Support Librarian
functed	String	Nominal	E - Liaison Librarian(s)
functee	String	Nominal	E - Copyright Unit or Officer / Institution's Legal Counsel
functef	String	Nominal	E - Not applicable
functeg	String	Nominal	E - Don't know
functeh	String	Nominal	E - Other
functez	String	Nominal	Providing advice or assistance in using alternative publishing models (yes/no)
functex	Numeric	Scale	Providing advice or assistance in using alternative publishing models (yes/no)
functfa	String	Nominal	F - Providing advice or assistance in using author addenda or licences to publish - Repository Staff
functfb	String	Nominal	F - Library Copyright Unit or Expert
functfc	String	Nominal	F - Scholarly Communication / Research Support Librarian
functfd	String	Nominal	F - Liaison Librarian(s)

Variable Name	Type	Measure	Variable Description (Label)
functfe	String	Nominal	F - Copyright Unit or Officer / Institution's Legal Counsel
functff	String	Nominal	F - Not applicable
functfg	String	Nominal	F - Don't know
functfh	String	Nominal	F - Other
functfz	String	Nominal	Providing advice or assistance in using author addenda or licences to publish (yes/no)
functfx	Numeric	Scale	Providing advice or assistance in using author addenda or licences to publish (yes/no)
functga	String	Nominal	G - Educating academic staff and/or researchers about author rights management - Repository Staff
functgb	String	Nominal	G - Library Copyright Unit or Expert
functgc	String	Nominal	G - Scholarly Communication / Research Support Librarian
functgd	String	Nominal	G - Liaison Librarian(s)
functge	String	Nominal	G - Copyright Unit or Officer / Institution's Legal Counsel
functgf	String	Nominal	G - Not applicable
functgg	String	Nominal	G - Don't know
functgh	String	Nominal	G - Other
functgz	String	Nominal	Educating academic staff and/or researchers about author rights management (yes/no)
functgx	Numeric	Scale	Educating academic staff and/or researchers about author rights management (yes/no)
functha	String	Nominal	H - Educating Library or Information Services staff about scholarly communication and/or research dissemination - Repository Staff
functhb	String	Nominal	H - Library Copyright Unit or Expert
functhc	String	Nominal	H - Scholarly Communication / Research Support Librarian
functhd	String	Nominal	H - Liaison Librarian(s)
functhe	String	Nominal	H - Copyright Unit or Officer / Institution's Legal Counsel

Variable Name	Type	Measure	Variable Description (Label)
functhf	String	Nominal	H - Not applicable
functhg	String	Nominal	H - Don't know
functhh	String	Nominal	H - Other
functhz	String	Nominal	Educating Library or Information Services staff about scholarly communication and/or research dissemination (yes/no)
functhx	Numeric	Scale	Educating Library or Information Services staff about scholarly communication and/or research dissemination (yes/no)
scoriped	Numeric	Ordinal	Score of content of copyright information training or support
copyinfa	Numeric	Scale	Copyright Information - Workshops, seminars
copyinfb	Numeric	Scale	Copyright Information - Presentations
copyinfc	Numeric	Scale	Copyright Information - Group discussions
copyinfd	Numeric	Scale	Copyright Information - One-to-one conversations with faculty members, researchers
copyinfe	Numeric	Scale	Copyright Information - Individual assistance, advisory service for individual queries
copyinff	Numeric	Scale	Copyright Information - Webpage
copyinfg	Numeric	Scale	Copyright Information - Online tutorial
copyinfh	Numeric	Scale	Copyright Information - Printed information (e.g., brochures, newsletters)
copinfax	String	Nominal	Copyright Information - Workshops, seminars
copinfbx	String	Nominal	Copyright Information - Presentations
copinfcx	String	Nominal	Copyright Information - Group discussions
copinfdx	String	Nominal	Copyright Information - One-to-one conversations with faculty members, researchers
copinfex	String	Nominal	Copyright Information - Individual assistance, advisory service for individual queries

Variable Name	Type	Measure	Variable Description (Label)
copinffx	String	Nominal	Copyright Information - Webpage
copinfgx	String	Nominal	Copyright Information - Online tutorial
copinfhx	String	Nominal	Copyright Information - Printed information (e.g., brochures, newsletters)
copyinfi	String	Nominal	Copyright Information - None of the above
copyinfj	String	Nominal	Copyright Information - Other
scorinf	Numeric	Ordinal	Score of delivery methods of copyright information
copyurl	String	Nominal	Copyright page URL
ipchal	String	Nominal	IP challenges
comments	String	Nominal	Comments
irurl	String	Nominal	IR URL
irrole	String	Nominal	IR role

Appendix 5. Scoring tables

Table 70: Score for copyright education and support activities content

Providing advice or assistance in interpreting publishers' and funders' policies	2
Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	2
Educating academic staff and/or researchers about the principles of Open Access and open scholarship approaches	3
Educating academic staff and/or researchers about the repository service	1
Providing advice or assistance in using alternative publishing models (e.g., open access journals or institutional repository services)	3
Providing advice or assistance in using author addenda or licences to publish	4
Educating academic staff and/or researchers about author rights management e.g., how to retain copyright, how to negotiate rights with publishers)	4
Educating Library or Information Services staff about scholarly communication and/or research dissemination issues e.g., institutional repository services and open scholarship approaches, author rights management)	1
Total out of 20	

Table 70 is based on the following: 1 point was given for copyright neutral activities, 2 points for compliance-orientated activities, 3 points for promotion of open access and alternative publishing models and 4 points for rights retention advocacy orientated activities.

Table 71: Score for copyright information communication methods

Workshops, seminars	3
Presentations	3
Group discussions	3
One-to-one conversations with faculty members, researchers	2
Individual assistance, advisory service for individual queries	2
Webpage	1
Online tutorial	1
Printed information (e.g., brochures, newsletters)	1
None of the above	0
Total out of 16	

Table 71 is based on the following: 1 point for "passive" communication methods, 2 points for "reactive" ones, 3 points for "pro-active" ones.

Table 72: Score for copyright information web pages

Conditions of use for repository materials (e.g., link to user licence)	1
Deposit licence for repository materials	1
Take down notice	1
Copyright restrictions that may apply to articles that have already been published and/or Information on the impact of copyright on research and publishing	1
Funders mandates or institutions' mandate or Open Access policy	1
Rights management, how to retain copyright for work to be published in future (e.g., licences, copyright addenda, copyright toolbox, Creative Commons) or authors' rights	3
How to obtain copyright permission and/or negotiate with publishers	3
Resources for locating publishers' policy on self-archiving (e.g., SHERPA/RoMEO)	2
OA publishing options or Open Access in general (incl. benefits of depositing in IR)	3
versioning (definitions of various "prints") and/or version management	2
Total out of 18	

Table 72 is based on the following: 1 point was given for compliance-orientated information, 2 points for information that served both a compliance and rights retention advocacy purpose, and 3 points for information related to the

promotion of alternative publishing models, author rights management and negotiating with publishers.

Appendix 6. Typology of information, activities and policies on the basis of their copyright approach

Compliance orientated:

Objectives:

- to promote the alignment of repository material with publishers' policy;
- to inform visitors of the conditions of use of the repository material;
- to protect the institution from rights holders complaints e.g., deposit licence, take down notice;
- to inform authors about possible copyright restrictions that apply to published outputs;
- to inform authors about funders and institution's policies or open access mandates.

Outcome:

- to limit risks of copyright infringement for the institution.

Rights retention advocacy orientated:

Objectives:

- to promote author rights and endorse rights management and retention; e.g., licences to publish, author addenda;
- to assist authors in negotiating with publishers;
- to encourage academics to adopt alternative publishing models.

Outcome:

- eliminate risk for the institution, ultimately save money on subscriptions.

Neutral or both:

Objectives:

- to provide information about where to locate publishers' self-archiving policies to determine the copyright status of item or to enable authors to make informed choices when choosing a publisher in future;

- to provide information about managing research outputs (specifically, version management) to ensure compliant deposits and limit the negative impact of publishers' restrictions.

Outcome:

- in the short to medium term, can limit risk; in the long term, can work towards eliminating risk.

Table 73: Typology of information, activities and policies on the basis of their copyright approach

Activity type	Institutional policies	Training and support activities	Copyright information provided on website
Compliance			Conditions of use for repository materials (e.g., link to user licence)
Compliance			Deposit license for repository materials
Compliance	Take down policy		Take down notice
Compliance		Providing advice or assistance in interpreting publishers' and funders' policies	Copyright restrictions that may apply to articles that have already been published and/or Information on the impact of copyright on research and publishing
Compliance		Disseminating, and/or providing advice on, compliance requirements for local policies on scholarly communications	Funders mandates or institutions' mandate or Open Access policy
Rights retention advocacy	Use of author/licence addenda (e.g., SPARC / Science Commons Addendum)	Educating academic staff and/or researchers about author rights management (e.g., how to retain copyright, how to negotiate rights with publishers)	Rights management, how to retain copyright for work to be published in future (e.g., licences, copyright addenda, copyright toolbox, Creative Commons) or authors' rights
Rights retention advocacy	Licence to publish (e.g., SURF Copyright Toolbox Authors Licence) or an Amendment to Publication Agreement form (e.g., MIT Amendment form)	Providing advice or assistance in using author addenda or licences to publish	How to obtain copyright permission and/or negotiate with publishers

Activity type	Institutional policies	Training and support activities	Copyright information provided on website
Rights retention advocacy		* Providing advice or assistance in using alternative publishing models (e.g., OAjournals or institutional repository services) *Educating academic staff and/or researchers about the principles of Open Access and open scholarship approaches	Open access publishing options or about Open Access in general (including benefits of depositing in the repository)
Neutral or Both			Versioning (definitions of various "prints") and/or version management
Neutral or Both		Educating Library or Information Services staff about scholarly communication and/or research dissemination	Other information on copyright not related to scholarly communication
Neutral or both	Works written during the course of employment	Educating academic staff and/or researchers about the repository service	Resources for locating publishers' policy on self-archiving (e.g., SHERPA/RoMEO)